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**Subsidiary Body for Implementation**

# Report of the Subsidiary Body for Implementation on its fortieth session, held in Bonn from 4 to 15 June 2014

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## Addendum – FCCC/SBI/2014/8/Add.1

## Draft decisions forwarded for consideration and adoption by the Conference of the Parties and the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol

Draft decision -/CP.20. Joint annual report of the Technology Executive Committee and the Climate Technology Centre and Network for 2013

Draft decision -/CP.20. Revisions to the financial procedures for the Conference of the Parties, its subsidiary bodies and the secretariat

Draft decision -/CP.20. Parties included in Annex I to the Convention whose special circumstances are recognized by the Conference of the Parties

Draft decision -/CMP.10. Synergy relating to accreditation under the mechanisms of the Kyoto Protocol

Draft decision -/CMP.10. Date of the completion of the expert review process under Article 8 of the Kyoto Protocol for the first commitment period

# I. Opening of the session

(Agenda item 1)

1. The fortieth session of the Subsidiary Body for Implementation (SBI) was held at the Maritim Hotel in Bonn, Germany, from 4 to 15 June 2014.

2. The Chair of the SBI, Mr. Amena Yauvoli (Fiji), opened the session on Wednesday, 4 June, and welcomed all Parties and observers. He also welcomed Mr. Ilhomjon Rajabov (Tajikistan) as Vice-Chair of the SBI and Ms. Mabafokeng F. Mahahabisa (Lesotho) as Rapporteur.

# II. Organizational matters

(Agenda item 2)

## A. Adoption of the agenda

(Agenda sub-item 2(a))

3. At its 1st meeting, on 4 June, the SBI considered a note by the Executive Secretary containing the provisional agenda and annotations (FCCC/SBI/2014/1).

4. At the same meeting, the agenda was adopted as follows, with agenda sub-item 4(a) held in abeyance (the Chair proposed to conduct consultations with interested Parties on how to move forward with agenda sub-item 4(a) at subsequent sessions):

1. Opening of the session.
2. Organizational matters:
   (a) Adoption of the agenda;
   (b) Organization of the work of the session.
3. Reporting and review of Parties included in Annex I to the Convention:
   (a) Status of submission and review of sixth national communications and first biennial reports from Parties included in Annex I to the Convention;
   (b) Revision of the "Guidelines for the preparation of national communications by Parties included in Annex I to the Convention, Part II: UNFCCC reporting guidelines on national communications";
   (c) Date of the completion of the expert review process under Article 8 of the Kyoto Protocol for the first commitment period.
4. Reporting from Parties not included in Annex I to the Convention:
   (a) Information contained in national communications from Parties not included in Annex I to the Convention (agenda item held in abeyance);
   (b) Provision of financial and technical support.
5. Work programme to further the understanding of the diversity of nationally appropriate mitigation actions.
6. Matters relating to the mechanisms under the Kyoto Protocol:

(a) Review of the modalities and procedures for the clean development mechanism;

(b) Review of the joint implementation guidelines;

(c) Synergy relating to accreditation under the mechanisms of the Kyoto Protocol;

(d) Modalities for expediting the continued issuance, transfer and acquisition of joint implementation emission reduction units;

(e) Procedures, mechanisms and institutional arrangements for appeals against decisions of the Executive Board of the clean development mechanism;

(f) Matters relating to the international transaction log under the Kyoto Protocol.

7. Matters relating to the least developed countries.

8. National adaptation plans.

9. Warsaw International Mechanism for Loss and Damage associated with Climate Change Impacts.

10. Second review of the Adaptation Fund.

11. Development and transfer of technologies and implementation of the Technology Mechanism:

(a) Joint annual report of the Technology Executive Committee and the Climate Technology Centre and Network for 2013;

(b) Poznan strategic programme on technology transfer.

12. Capacity-building:

(a) Capacity-building under the Convention;

(b) Capacity-building under the Kyoto Protocol.

13. Parties included in Annex I to the Convention whose special circumstances are recognized by the Conference of the Parties.

14. Article 6 of the Convention.

15. Impact of the implementation of response measures:

(a) Forum and work programme;

(b) Matters relating to Article 3, paragraph 14, of the Kyoto Protocol;

(c) Progress on the implementation of decision 1/CP.10.

16. The 2013–2015 review.

17. Arrangements for intergovernmental meetings.

18. Administrative, financial and institutional matters:

(a) Financial matters;

(b) Continuing review of the functions and operations of the secretariat;

(c) Implementation of the Headquarters Agreement;

(d) Privileges and immunities for individuals serving on constituted bodies established under the Kyoto Protocol;

(e) Privileges and immunities for individuals serving on constituted bodies established under the Convention.

19. Other matters.

20. Report on the session.

5. At the 1st meeting, a statement was made by a representative of one Party on behalf of the Environmental Integrity Group. At the resumed 1st meeting, held in the afternoon of 4 June, statements were made by representatives of 12 Parties, including one speaking on behalf of the Group of 77 and China (G77 and China), one on behalf of the Umbrella Group, one on behalf of the Alliance of Small Island States (AOSIS), one on behalf of the African States, one on behalf of the European Union and its member States, one on behalf of the least developed countries (LDCs), one on behalf of the Like-minded Developing Countries, one on behalf of the Independent Association for Latin America and the Caribbean, one on behalf of the Central American Integration System and one on behalf of the Bolivarian Alliance for the Peoples of Our America – People's Trade Treaty. Statements were also made on behalf of business and industry non-governmental organizations, indigenous peoples organizations (IPOs), women and gender, youth non-governmental organizations (YOUNGOs) and by representatives of environmental non-governmental organizations (ENGOs).

6. At the 2nd meeting, held on 14 June, the Chair reported back on his informal consultations on agenda sub-item 4(a), "Information contained in national communications from Parties not included in Annex I to the Convention". He informed Parties that there was no consensus on the way forward with regard to this item. On a proposal by the Chair, the SBI agreed to include this issue on the provisional agenda for SBI 41 with the following footnote: "At SBI 40 there was no consensus to include this issue on the agenda. It was therefore held in abeyance. On a proposal by the Chair, the SBI decided that this issue be included on the provisional agenda for SBI 41."

## B. Organization of the work of the session

(Agenda sub-item 2(b))

7. The SBI considered this agenda sub-item at its 1st meeting, at which the Chair drew attention to the proposed programme of work posted on the UNFCCC website. On a proposal by the Chair, the SBI agreed to proceed on the basis of that programme of work.

# III. Reporting and review of Parties included in Annex I to the Convention

(Agenda item 3)

## A. Status of submission and review of sixth national communications and first biennial reports from Parties included in Annex I to the Convention

(Agenda sub-item 3(a))

### Proceedings

8. The SBI considered this agenda sub-item at its 1st meeting and took note of the information contained in document FCCC/SBI/2014/INF.5.

## B. Revision of the "Guidelines for the preparation of national communications by Parties included in Annex I to the Convention, Part II: UNFCCC reporting guidelines on national communications"

(Agenda sub-item 3(b))

### 1. Proceedings

9. The SBI considered this agenda sub-item at its 1st and 2nd meetings. At its 1st meeting, the SBI agreed to consider this agenda sub-item in informal consultations co-facilitated by Ms. Fatuma Hussein (Kenya) and Ms. Helen Plume (New Zealand).

10. At its 2nd meeting, the SBI considered and adopted the conclusions below.[1]

### 2. Conclusions

11. The SBI initiated its consideration of the revision of the "Guidelines for the preparation of national communications by Parties included in Annex I to the Convention, Part II: UNFCCC reporting guidelines on national communications" (hereinafter referred to as the reporting guidelines on national communications).

12. The SBI took note of the views submitted by Parties included in Annex I to the Convention (Annex I Parties)[2] in response to the invitation of the Conference of the Parties (COP) at its seventeenth session[3] on their experience with preparing their first biennial reports.

13. It recognized that, in the submissions made so far, Parties identified inconsistencies between the reporting guidelines on national communications and the "UNFCCC biennial reporting guidelines for developed country Parties"[4] and indicated where the reporting guidelines on national communications need to be updated.

14. Recalling the invitation of the COP referred to in paragraph 12 above, the SBI invited Annex I Parties that have not yet done so to submit their views on their experience with preparing their first biennial reports to the secretariat by 20 August 2014, recognizing that more information will be needed to complete the revision of the reporting guidelines on national communications.

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[1] Draft conclusions presented in document FCCC/SBI/2014/L.15.

[2] Available at <www.unfccc.int/5900>.

[3] Decision 2/CP.17, paragraph 17.

[4] Decision 2/CP.17, annex I.

15. The SBI acknowledged that, owing to the scope of the call for the submissions referred to in paragraphs 12 and 13 above, the submissions do not necessarily cover all of the types of information reported in national communications.

16. To further inform Parties in the preparation for the revision of the reporting guidelines on national communications, the SBI invited Parties to submit their views on the reporting guidelines on national communications to the secretariat by 20 August 2014.

17. It recalled the request made by the COP[5] for the SBI to work on the revision of the reporting guidelines on national communications with a view to the revised guidelines being adopted at COP 20 (December 2014).

18. The SBI noted that, should Parties require additional time beyond SBI 41 (December 2014) to complete the work referred to in paragraph 17 above, events such as workshops for the continuation of that work will be considered at SBI 41.

19. The SBI requested the secretariat to include a synthesis of the views of Parties referred to in paragraphs 14 and 16 above in the technical paper referred to in paragraph 20 of decision 2/CP.17. The technical paper should facilitate consideration at SBI 41 of the revision of the reporting guidelines on national communications and should also highlight the issues referred to in paragraph 13 above.

20. The SBI took note of the estimated budgetary implications of the activities to be undertaken by the secretariat referred to in paragraph 19 above. It requested that the actions of the secretariat called for in these conclusions be undertaken subject to the availability of financial resources.

## C. Date of the completion of the expert review process under Article 8 of the Kyoto Protocol for the first commitment period

(Agenda sub-item 3(c))

### Proceedings

21. The SBI considered this agenda sub-item at its 1st meeting, as well as at its resumed 2nd meeting, held on 15 June. At its 1st meeting, the SBI agreed to consider this agenda sub-item in informal consultations co-facilitated by Mr. Gerhard Loibl (Austria) and Ms. Thelma Krug (Brazil).

22. At its 2nd meeting, the SBI considered and recommended a draft decision on this matter for consideration and adoption by the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol (CMP) at its tenth session (for the text of the draft decision, see document FCCC/SBI/2014/8/Add.1).

[5] Decision 2/CP.17, paragraph 18.

# IV. Reporting from Parties not included in Annex I to the Convention

(Agenda item 4)

## A. Information contained in national communications from Parties not included in Annex I to the Convention

(Agenda sub-item 4(a) *held in abeyance*)

## B. Provision of financial and technical support

(Agenda sub-item 4(b))

### 1. Proceedings

23. The SBI considered this agenda sub-item at its 1st and 2nd meetings. It had before it document FCCC/SBI/2014/INF.7.

24. At the 1st meeting, the Chair of the SBI invited a representative of the secretariat of the Global Environment Facility (GEF) to make a statement.[6] At the same meeting, the SBI agreed to consider this agenda sub-item in informal consultations co-facilitated by Ms. Hussein and Ms. Plume.

25. At its 2nd meeting, the SBI considered and adopted the conclusions below.[7]

### 2. Conclusions

26. The SBI took note of the information provided by the secretariat of the GEF on the financial support provided by the GEF for the preparation of biennial update reports (BURs) by Parties not included in Annex I to the Convention (non-Annex I Parties).[8] The SBI invited the GEF to continue providing detailed, accurate, timely and complete information on its activities relating to the preparation of BURs, including information on the dates of requests for funding, approval of funding and disbursement of funds, as well as the amount of funding disbursed to non-Annex I Parties for the preparation of BURs, and the amount of funding provided for the preparation of national communications during the same period, for consideration at SBI 41.

27. The SBI noted that as at 4 June 2014 the GEF secretariat had received 36 requests for support to prepare BURs. Recalling decision 2/CP.17, paragraph 41(d), the SBI urged non-Annex I Parties that have yet to submit, as applicable, their requests to the GEF for support for the preparation of their first BURs to do so in a timely manner. In addition, it encouraged the GEF implementing agencies to continue facilitating the preparation and submission of project proposals by non-Annex I Parties for the preparation of their BURs.

28. The SBI invited the GEF to provide, in its report to COP 20, detailed information on the funding available under its latest replenishment to non-Annex I Parties for the preparation of national communications and BURs, and the total amount of funding available in its climate change focal area.

29. The SBI recommended that COP 20 request the GEF to continue to work with its implementing agencies to further simplify its procedures and improve the effectiveness and

[6] The statement is available at <unfccc.int/8014>.

[7] Draft conclusions proposed in document FCCC/SBI/2014/L.8.

[8] FCCC/SBI/2014/INF.7.

efficiency of the process through which non-Annex I Parties receive funding to meet their obligations under Article 12, paragraph 1, of the Convention.

30. The SBI, recalling decision 9/CP.18, reiterated its encouragement[9] of the GEF to make support available to non-Annex I Parties for preparing their subsequent BURs in a timely manner, taking fully into account decision 2/CP.17, paragraph 41(a) and (e).

31. The SBI noted the announcement made by the representative of the GEF on the successful completion, at a record level, of the sixth replenishment of the GEF and the upcoming operationalization of its Global Support Programme for Preparation of National Communications and Biennial Update Reports by non-Annex I Parties (a five-year project administered jointly by the United Nations Development Programme and the United Nations Environment Programme, with the objective of enhancing the support provided to non-Annex I Parties for the preparation of their national communications and BURs).

32. The SBI welcomed the efforts made by the secretariat to release updated versions of the national greenhouse gas (GHG) inventory software for non-Annex I Parties in 2013[10] and encouraged non-Annex I Parties to use the software for the development of their national GHG inventories. It acknowledged the usefulness of the updated software and requested the secretariat to make it available to non-Annex I Parties in other United Nations languages by June 2015.

33. The SBI also welcomed the efforts made by the secretariat to provide relevant training to national experts from all non-Annex I Parties with a view to facilitating the efficient use of the software. The SBI thanked the Governments of the Philippines, Gabon and Colombia for having hosted the regional hands-on training workshops on the use of the software that were organized by the secretariat. It also requested the secretariat to report, at SBI 41, on the regional hands-on training workshops on the use of the software that it organized in 2013–2014.

34. The SBI took note of the estimated budgetary implications of the activities to be undertaken by the secretariat referred to in paragraph 32 above.

35. It requested that the actions of the secretariat called for in these conclusions be undertaken subject to the availability of financial resources.

## V. Work programme to further the understanding of the diversity of nationally appropriate mitigation actions

(Agenda item 5)

### 1. Proceedings

36. The SBI considered this agenda item at its 1st and 2nd meetings. It had before it documents FCCC/SBI/2014/INF.1 and FCCC/SBI/2014/INF.10.

37. At its 1st meeting, the SBI agreed to consider this agenda item in informal consultations co-facilitated by Ms. Ann Gann (Singapore) and Mr. Dimitar Nikov (France).

38. At its 2nd meeting, the SBI considered and adopted the conclusions below.[11]

[9] FCCC/SBI/2013/20, paragraph 36.

[10] Available at <http://unfccc.int/7627.php>.

[11] Draft conclusions presented in document FCCC/SBI/2014/L.18, which, as stated by the Chair, does not reflect the correct title of the agenda item.

### 2. Conclusions

39. The SBI continued to advance the work programme to further the understanding of the diversity of nationally appropriate mitigation actions (NAMAs) in accordance with decision 1/CP.18, paragraph 19 (hereinafter referred to as the work programme).

40. The SBI welcomed the information provided during the relevant in-session workshop and expressed its appreciation to the presenters and panellists, who shared information and experiences relating to the issues addressed under the work programme.

41. The SBI took note of the information contained in document FCCC/SBI/2014/INF.10 on the extent of the matching of mitigation actions with financial, technical and capacity-building support under the NAMA registry.

42. The SBI recalled decision 2/CP.17, paragraph 52, and requested the secretariat to arrange annual technical briefings in conjunction with the meetings of the subsidiary bodies and, in this regard, prepare written information, including an update to document FCCC/SBI/2014/INF.10, to allow for an exchange of views on updated information on NAMAs and support for NAMAs under the registry, including the extent of matching between them.

43. Taking note of the action taken so far under the work programme, the SBI recalled its mandate to report on the outcome of the work programme at COP 20. With a view to concluding the work programme at SBI 41, in accordance with all of the elements contained in decision 1/CP.18, paragraph 19(a–c), the SBI agreed to prepare conclusions at that session on the process of furthering the understanding of the diversity of NAMAs, which will describe:

(a) The activities conducted under the work programme, relevant submissions from Parties, the reports prepared by the secretariat on those activities and on the operation of the NAMA registry, and the presentations made and discussions held at the relevant in-session workshops;

(b) Information on issues addressed and experiences shared during the work programme in relation to the preparation and implementation of, and support to, a diverse range of NAMAs.

## VI. Matters relating to the mechanisms under the Kyoto Protocol

(Agenda item 6)

### A. Review of the modalities and procedures for the clean development mechanism

(Agenda sub-item 6(a))

#### Proceedings

44. The SBI considered this agenda sub-item at its 1st and 2nd meetings. It had before it document FCCC/TP/2014/1 and a consolidated list of suggested changes to the modalities and procedures for the clean development mechanism.[12] Representative of three Parties made statements, including one on behalf of the European Union and its member States and one on behalf of the African States.

[12] List contained in a note prepared by, and under the responsibility of, the co-chairs of this agenda sub-item at SBI 39. Available at <http://unfccc.int/7871.php> under agenda sub-item 7(a).

45. At its 1st meeting, the SBI agreed to consider this agenda sub-item in informal consultations co-facilitated by Mr. Marko Berglund (Finland) and Mr. Philip Gwage (Uganda).

46. At the 2nd meeting, the Chair reported that the consultations did not result in any conclusions. In accordance with rule 16 of the draft rules of procedure being applied, this matter will be included on the provisional agenda for SBI 41.

## B. Review of the joint implementation guidelines

(Agenda sub-item 6(b))

### 1. Proceedings

47. The SBI considered this agenda sub-item at its 1st and 2nd meetings.

48. At its 1st meeting, the SBI agreed to consider this agenda sub-item in informal consultations co-facilitated by Mr. Nikov and Mr. Yaw Osafo (Ghana).

49. At its 2nd meeting, the SBI considered and adopted the conclusions below.[13]

### 2. Conclusions

50. The SBI continued its consideration of the review of the guidelines for the implementation of Article 6 of the Kyoto Protocol[14] (joint implementation guidelines), with a view to recommending a draft decision on the matter for consideration and adoption at CMP 10, in accordance with decision 6/CMP.8, paragraphs14–16.

51. The SBI agreed to continue its consideration of this matter at SBI 41 on the basis of the draft decision text proposed by the co-chairs of the informal consultations on this agenda sub-item and contained in the annex to document FCCC/SBI/2014/L.11.

## C. Synergy relating to accreditation under the mechanisms of the Kyoto Protocol

(Agenda sub-item 6(c))

### 1. Proceedings

52. The SBI considered this agenda sub-item at its 1st and 2nd meetings. It had before it document FCCC/SBI/2014/5.

53. At its 1st meeting, the SBI agreed to consider this agenda sub-item in informal consultations co-facilitated by Mr. Martin Hession (European Union) and Mr. Jeffery Spooner (Jamaica).

54. At its 2nd meeting, the SBI considered and adopted the conclusions below.[15]

### 2. Conclusions

55. The SBI initiated its consideration of synergy relating to accreditation under the mechanisms established under Articles 6 and 12 of the Kyoto Protocol.

[13] Draft conclusions presented in document FCCC/SBI/2014/L.11.

[14] Annex to decision 9/CMP.1.

[15] Draft conclusions presented in document FCCC/SBI/2014/L.4 and Add.1.

56. The SBI took note of the recommendation of the Joint Implementation Supervisory Committee on the accreditation system for joint implementation aligned with that of the clean development mechanism.

57. The SBI recommended a draft decision on this matter for consideration and adoption at CMP.10 (for the text of the draft decision, see document FCCC/SBI/2014/8/Add.1).

## D. Modalities for expediting the continued issuance, transfer and acquisition of joint implementation emission reduction units

(Agenda sub-item 6(d))

### 1. Proceedings

58. The SBI considered this agenda sub-item at its 1st and 2nd meetings. At its 1st meeting, the SBI agreed to consider this agenda sub-item in informal consultations co-facilitated by Mr. Osafo and Mr. Nikov.

59. At its 2nd meeting, the SBI considered and adopted the conclusions below.[16]

### 2. Conclusions

60. The SBI continued its consideration of modalities for expediting the continued issuance, transfer and acquisition of joint implementation (JI) emission reduction units (ERUs), in accordance with decision 1/CMP.8, paragraph 16.

61. The SBI agreed to continue its consideration of this matter at SBI 41 on the basis of the draft decision text proposed by the co-chairs of the informal consultations on this agenda sub-item and contained in the annex to document FCCC/SBI/2014/L.9.

62. To further inform this consideration, the SBI requested the secretariat to prepare a technical paper, for consideration at SBI 41, on any technical implications for the processes and systems under the Kyoto Protocol, including but not limited to reporting and review requirements under the Kyoto Protocol and the functions of the international transaction log (ITL), arising from the modalities referred to in the draft text contained in the annex to document FCCC/SBI/2014/L.9.

63. The technical paper referred to in paragraph 62 above shall also contain information on budgetary implications, the current status of ratification or provisional application of the Doha Amendment and the status of the JI projects. The information on JI projects shall include, but shall not be limited to, an update on letters of approval and their validity for the respective commitment periods, the number of projects, annual and total ERUs issued to date, the annual and total ERU generation potential, and the remaining crediting periods of JI projects in the pipeline for Parties with quantified emission limitation and reduction commitments in the second commitment period, noting any difficulties in accessing information due to the absence of designated focal points in some Parties.

[16] Draft conclusions presented in document FCCC/SBI/2014/L.9.

## E. Procedures, mechanisms and institutional arrangements for appeals against decisions of the Executive Board of the clean development mechanism

(Agenda sub-item 6(e))

### 1. Proceedings

64. The SBI considered this agenda sub-item at its 1st and 2nd meetings. At its 1st meeting, the SBI agreed to consider this agenda sub-item in informal consultations co-facilitated by Mr. Kunihiko Shimada (Japan) and Mr. Osafo.

65. At its 2nd meeting, the SBI considered and adopted the conclusions below.[17]

### 2. Conclusions

66. The SBI continued its discussion of the issue of procedures, mechanisms and institutional arrangements for appeals against the decisions of the Executive Board of the clean development mechanism. Parties continued to maintain different views on the scope of appeals, among other issues.

67. The SBI agreed to continue its consideration of this matter on the basis of, inter alia, the co-facilitators' draft text contained in document FCCC/SBI/2012/33/Add.1, with a view to preparing a draft decision for consideration and adoption at CMP 10.

## F. Matters relating to the international transaction log under the Kyoto Protocol

(Agenda sub-item 6(f))

### 1. Proceedings

68. The SBI considered this agenda sub-item at its 1st and 2nd meetings. It had before it document FCCC/SBI/2014/INF.6.

69. At its 1st meeting, the SBI agreed to consider this agenda sub-item in informal consultations facilitated by Mr. Yuji Mizuno (Japan).

70. At its 2nd meeting, the SBI considered and adopted the conclusions below.[18]

### 2. Conclusions

71. The SBI continued its consideration of information security management in systems supporting emissions trading under the Kyoto Protocol. It welcomed the document prepared by the ITL administrator and the Security Working Group under the Registry System Administrators Forum[19] and took note of the options for, and the road map to, information security implementation in the registry system.

72. The SBI requested the ITL administrator and the Security Working Group to execute the further implementation option[20] by extending the current information security control implementation on the basis of a registry-specific and quantitative risk assessment, followed by an in-depth control implementation analysis. It also requested the ITL administrator and the Security Working Group to prepare a document containing a final implementation option for information security management, including the related resource

[17] Draft conclusions presented in document FCCC/SBI/2014/L.5.
[18] Draft conclusions presented in document FCCC/SBI/2014/L.2.
[19] FCCC/SBI/2014/INF.6.
[20] See document FCCC/SBI/2014/INF.6, paragraphs 30–32.

requirements for registry systems and budget requirements for the ITL, for consideration at SBI 42 (June 2015).

73. The SBI agreed to consider the final implementation option referred to in paragraph 72 above at SBI 42, with a view to recommending a draft decision on the matter for consideration and adoption at CMP 11 (November–December 2015).

# VII. Matters relating to the least developed countries

(Agenda item 7)

## 1. Proceedings

74. The SBI considered this agenda item at its 1st and 2nd meetings. It had before it document FCCC/SBI/2014/4. Statements were made by representatives of three Parties: one spoke on behalf of G77 and China, one on behalf of the LDCs and one on behalf of the African States.

75. At the 1st meeting, the Chair invited Mr. Batu Krishna Uprety (Nepal), Chair of the Least Developed Countries Expert Group (LEG), to report on the group's activities. At the same meeting, the SBI agreed to consider this agenda item in informal consultations facilitated by Mr. Collin Beck (Solomon Islands). As Mr. Beck was unable to attend the session, Ms. Patience Damptey (Ghana) was invited to facilitate these consultations.

76. At its 2nd meeting, the SBI considered and adopted the conclusions below.[21]

## 2. Conclusions

77. The SBI took note of the oral report by the Chair of the LEG[22] on the implementation of the LEG work programme for 2013–2014 and acknowledged the progress made by the LEG thereunder.

78. It welcomed the report on the 25th meeting of the LEG,[23] held in Dar es Salaam, United Republic of Tanzania, on 27 and 28 February 2014, and the outcome of the LEG technical meeting on national adaptation plans (NAPs) held in Dar es Salaam from 24 to 26 February 2014.

79. The SBI expressed its gratitude to the Government of the United Republic of Tanzania for hosting these meetings. It expressed its appreciation to the Governments of Belgium, Canada, Finland and Norway for providing financial support for the work of the LEG.

80. The SBI noted with appreciation the contributions made by some Parties to the Least Developed Countries Fund (LDCF), totalling USD 831.54 million as at 28 February 2014,[24] and encouraged other Parties to also contribute.

81. The SBI welcomed the submission of proposals for the funding of the implementation of national adaptation programme of action (NAPA) projects to the LDCF. It noted with appreciation that as at 20 April 2014, 48 countries had accessed USD 817.25 million for 150 projects to implement NAPAs.

82. The SBI also welcomed the approval of resources totalling USD 6.73 million for the National Adaptation Plan Global Support Programme for the LDCs[25] and for a project to

[21] Draft conclusions presented in document FCCC/SBI/2014/L.3.

[22] The report is available at <unfccc.int/7504>.

[23] FCCC/SBI/2014/4.

[24] See GEF report GEF/LDCF.SCCF.16/04, available at <http://www.thegef.org/gef/node/10491>.

build the capacity of LDCs to participate effectively in the intergovernmental climate change process under the LDC work programme.[26]

83. The SBI noted the importance of continuing to support the full implementation of NAPAs to address urgent and immediate adaptation needs and to build capacity for medium- and long-term adaptation planning and implementation.

84. The SBI expressed its satisfaction with the work of the LEG and the support provided to the LEG by the secretariat. It welcomed the LEG work programme for 2014–2015,[27] and encouraged the LEG to maintain flexibility in the management of its work programme, taking into account available resources.

85. The SBI recognized the importance of the LEG regional training workshops[28] on building capacity, facilitating peer-to-peer learning and promoting South–South cooperation.

86. The SBI welcomed the materials being prepared as supplements to the LEG Technical Guidelines for the NAP process[29] by relevant organizations and stressed the importance of their alignment with these guidelines.

87. The SBI welcomed the engagement and collaboration of the LEG with other constituted bodies and programmes under the Convention, in particular the Adaptation Committee, the Consultative Group of Experts on National Communications from Parties not included in Annex I to the Convention, the Technology Executive Committee (TEC), the Executive Committee of the Warsaw International Mechanism for Loss and Damage associated with Climate Change Impacts and the Nairobi work programme on impacts, vulnerability and adaptation to climate change, and its constructive collaboration with a wide range of organizations. It requested the LEG to expand these efforts.

88. The SBI requested that the actions of the secretariat called for in these conclusions be undertaken subject to the availability of financial resources.

89. The SBI invited Parties in a position to do so to continue to provide support for the implementation of the LEG work programme.

# VIII. National adaptation plans

(Agenda item 8)

## 1. Proceedings

90. The SBI considered this agenda item at its 1st and 2nd meetings. It had before it documents FCCC/SBI2014/4 and FCCC/SBI/2014/MISC.1. Statements were made by

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[25] Based on a global project under the LDCF titled "Assisting least developed countries (LDCs) with country-driven processes to advance national adaptation plans (NAPs)". See GEF report GEF/LDCF.SCCF.16/04, annex I, available at <http://www.thegef.org/gef/node/10491>. More information on the National Adaptation Plan Global Support Programme can be found at <http://www.undp-alm.org/projects/naps-ldcs>.

[26] Based on a global project under the LDCF titled "Building capacity for LDCs to participate effectively in intergovernmental climate change processes". See GEF report GEF/LDCF.SCCF.16/04, annex I, available at <http://www.thegef.org/gef/node/10491>.

[27] FCCC/SBI/2014/4, annex I.

[28] Information on the workshops is available at <unfccc.int/6101>.

[29] *National Adaptation Plans. Technical Guidelines for the National Adaptation Plan Process*. Available at <http://unfccc.int/essential_background/library/items/3599.php?such=j&symbol=FCCC/GEN/288%20E#beg>.

representatives of four Parties, including one speaking on behalf of the G77 and China, one on behalf of AOSIS and one on behalf of the LDCs.

91. At its 1st meeting, the SBI agreed to consider this agenda item in informal consultations co-facilitated by Ms. Margaret Mukahanana-Sangarwe (Zimbabwe) and Mr. Tomasz Chruszczow (Poland).

92. At its 2nd meeting, the SBI considered and adopted the conclusions below.[30]

## 2. Conclusions

93. The SBI welcomed the information on experiences with the application of the initial guidelines for the formulation of NAPs, as well as information relevant to the formulation and implementation of NAPs provided by Parties and relevant organizations through their submissions.[31]

94. The SBI took note of work undertaken by relevant organizations and institutions that is related to the NAP process, based on the submissions mentioned in paragraph 93 above, and invited such organizations and institutions to continue this work.

95. The SBI noted with appreciation the support provided by multilateral, bilateral and other organizations in support of the NAP process in LDC Parties and other developing country Parties that are not LDCs.

96. The SBI also noted with appreciation the contributions made by developed country Parties to the LDCF, and invited these Parties to further contribute to the LDCF to enable activities for the preparation of the NAP process by the LDC Parties, while maintaining progress in the implementation of NAPAs.

97. The SBI further took note of the activities carried out by the National Adaptation Plan Global Support Programme for the LDCs,[32] and invited developed country Parties, United Nations organizations, specialized agencies, and other relevant organizations, as well as bilateral and multilateral agencies, to enhance support to the programme, and to other relevant programmes, to address the needs of all LDC Parties in initiating the NAP process.

98. The SBI welcomed the approval by the GEF of the global project titled "Assisting non-LDC developing countries with country-driven processes to advance national adaptation plans".[33]

99. The SBI noted with appreciation the contributions made by developed country Parties to the Special Climate Change Fund and invited Parties, United Nations organizations, specialized agencies and other relevant organizations to continue to enhance support programmes for the NAP process, within their mandates, as appropriate, to

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[30] Draft conclusions presented in document FCCC/SBI/2014/L.19.

[31] FCCC/SBI/2013/9, FCCC/SBI/2014/MISC.1 and FCCC/SBI/2013/MISC.2 and Add.1. Further relevant submissions are available at <http://unfccc.int/5900> under SBI 40 and the heading "National adaptation plans", <http://unfccc.int/8016> under the heading "Guidelines for the formulation of national adaptation plans" and <http://unfccc.int/7481> under the heading "National adaptation plans".

[32] Based on a global project under the LDCF titled "Assisting least developed countries (LDCs) with country-driven processes to advance national adaptation plans (NAPs)". See GEF report GEF/LDCF.SCCF.16/04, annex I, available at <http://www.thegef.org/gef/node/10491>. More information on the National Adaptation Plan Global Support Programme can be found at <http://www.undp-alm.org/projects/naps-ldcs>.

[33] Information on this project can be found at <http://unfccc.int/resource/docs/2014/smsn/igo/156.pdf>. Additional details can be found in GEF report GEF/LDCF.SCCF.16/04, annex II, available at <http://www.thegef.org/gef/node/10491>.

facilitate the provision of financial and technical support to developing country Parties that are not LDCs.

100. The SBI expressed its appreciation to the LEG for its work on technical guidance and support to the NAP process for LDCs, and to the Adaptation Committee for its work on considering the modalities for supporting developing country Parties that are not LDCs.

101. The SBI invited the Adaptation Committee to urge its task force on NAPs to expedite its work.

102. The SBI invited the LEG and the Adaptation Committee to explore ways in which developing country Parties that are not LDCs can be accommodated in the NAP Expo,[34] to be organized by the LEG as part of its work programme for 2014–2015.[35]

103. The SBI acknowledged the invitation by COP 19 to Parties and relevant organizations to submit to the secretariat, by 26 March 2014, information on their experiences with the application of the initial guidelines for the formulation of NAPs, as well as any other information relevant to the formulation and implementation of the NAPs.[36] It extended that invitation until 18 August 2014.

104. The SBI noted the invitation by the Subsidiary Body for Scientific and Technological Advice (SBSTA) to Parties and partner organizations to the Nairobi work programme on impacts, vulnerability and adaptation to climate change to submit information on good practices in, and lessons learned from, national adaptation planning, and noted that an information document containing these submissions will be made available in December 2014.[37]

105. The SBI took note of the NAP Expo to be held in August 2014 to further promote and mobilize actions and support for the NAP process, and encouraged Parties, relevant organizations and practitioners to attend the event.

106. The SBI invited the Adaptation Committee in collaboration with the LEG to organize a workshop, back to back with a relevant meeting where possible, drawing upon experts and practitioners at different levels to share experiences, good practices, lessons learned, gaps and needs on the process to formulate and implement national adaptation plans, to be held prior to SBI 42.

107. The SBI invited the LEG and the Adaptation Committee to prepare an information paper on experiences, good practices, lessons learned, gaps and needs in the process to formulate and implement national adaptation plans based on the NAP Expo and relevant documents, including the submissions referred to in paragraphs 93, 103 and 104 above, for consideration at SBI 41, as well as to serve as an input to the workshop mentioned in paragraph 106 above.

108. The SBI invited the Adaptation Committee, in collaboration with the LEG and with the support of the secretariat, to prepare a report on the workshop mentioned in paragraph 106 above. The SBI will consider this report, the submissions referred to in paragraphs 93, 103 and 104 above, and all other relevant documents, at SBI 42, as it monitors and evaluates progress made in the NAP process,[38] with a view to making recommendations to the COP, as appropriate.

109. The SBI took note of the estimated budgetary implications of the activities to be undertaken by the secretariat referred to in paragraphs 106–108 above. It requested that the

[34] FCCC/SBI/2014/4, paragraphs 13–16.
[35] FCCC/SBI/2014/4, annex I.
[36] Decision 18/CP.19, paragraph 6.
[37] FCCC/SBSTA/2013/5, paragraph 13.
[38] Decision 5/CP.17, paragraph 37.

actions of the secretariat called for in these conclusions be undertaken subject to the availability of financial resources.

110. The SBI decided to continue its consideration of the matter at SBI 41, on the basis of the information paper referred to in paragraph 107 above, of the submissions referred to in paragraphs 93, 103 and 104 above and the notes contained in the annex to document FCCC/SBI/2014/L.19.

# IX. Warsaw International Mechanism for Loss and Damage associated with Climate Change Impacts

(Agenda item 9)

## 1. Proceedings

111. The SBI considered this agenda item at its 1st meeting and resumed 2nd meeting. Statements were made by six Parties, including one speaking on behalf of AOSIS, one on behalf of the LDCs and one behalf of the African States.

112. At its 1st meeting, the SBI agreed to consider this agenda item in informal consultations co-facilitated by Mr. Alf Wills (South Africa) and Ms. Beth Lavender (Canada).

113. At its 2nd meeting, the SBI considered and adopted the conclusions below.[39]

## 2. Conclusions

114. The SBSTA and the SBI, in accordance with decision 2/CP.19, initiated their consideration of the composition of, and procedures for, the Executive Committee of the Warsaw International Mechanism for Loss and Damage associated with Climate Change Impacts, with a view to finalizing the organization and governance of the Executive Committee.

115. The SBSTA and the SBI concluded that they would continue their consideration of this matter at SBSTA 41 and SBI 41, taking into account the elements reflected in the draft decision contained in the annex to document FCCC/SB/2014/L.4, with a view to making recommendations thereon for adoption at COP 20.[40]

# X. Second review of the Adaptation Fund

(Agenda item 10)

## 1. Proceedings

116. The SBI considered this agenda item at its 1st and 2nd meetings. Statements were made by representatives of three Parties, including one speaking on behalf of the LDCs.

117. At its 1st meeting, the SBI agreed to consider this agenda item in informal consultations co-facilitated by Ms. Ana Fornells de Frutos (Spain) and Ms. Suzanty Sitorus (Indonesia).

118. At its 2nd meeting, the SBI considered and adopted the conclusions below.[41]

[39] Draft conclusions presented in document FCCC/SB/2014/L.4

[40] Decision 2/CP.19, paragraph 10

[41] Draft conclusions presented in document FCCC/SBI/2014/L.17

## 2. Conclusions

119. The SBI considered the second review of the Adaptation Fund in accordance with the terms of reference for the second review of the Adaptation Fund[42] (hereinafter referred to as the terms of reference).

120. The SBI welcomed the financial contributions and pledges that were made to the Adaptation Fund by Parties pursuant to paragraph 12 of decision 1/CMP.9, adopted at CMP 9. These contributions and pledges enabled the Adaptation Fund to achieve its fundraising goal of USD 100 million by the end of 2013. The SBI would like to express the hope that more funds could be generated to meet the current needs of the Adaptation Fund.

121. The SBI took note of the oral report of the Adaptation Fund Board secretariat on the Board's new fundraising target of USD 80 million per calendar year for 2014 and 2015, and requested the Board to include an update on the implementation of its fundraising strategy in its report to CMP 10.

122. The SBI continued to note with concern the lack of sustainable, predictable and adequate financial resources for the Adaptation Fund to support projects and programmes in developing countries.

123. The SBI highlighted that the implementation of the Adaptation Fund has led to the enhancement of direct access and country ownership.

124. The SBI recalled that the Adaptation Fund is a fund under the Kyoto Protocol, which is a legal instrument of the Convention and guided by Article 3 of the Convention, and noted the issues raised by Parties, on the basis of the terms of reference, related to:

(a) The provision of sustainable, predictable and adequate financial resources, including the potential diversification of revenue streams, to fund concrete adaptation projects and programmes that are country-driven and based on the needs, views and priorities of eligible Parties;

(b) Lessons learned from the application of the access modalities of the Adaptation Fund;

(c) The institutional linkages and relations, as appropriate, between the Adaptation Fund and other institutions, in particular institutions under the Convention;

(d) The institutional arrangements for the Adaptation Fund, in particular the arrangements with the interim secretariat and the interim trustee.

125. The SBI invited Parties and observer organizations, as well as other interested international organizations, stakeholders and non-governmental organizations involved in the activities of the Adaptation Fund and multinational, regional and national implementing entities accredited by the Adaptation Fund Board, to submit to the secretariat, by 22 September 2014, further views on the second review of the Adaptation Fund, in accordance with the terms of reference.

126. The SBI requested the secretariat to make the submissions referred to in paragraph 125 above available on the UNFCCC website and to compile them into a miscellaneous document, for consideration at SBI 41.

127. The SBI also requested the secretariat, when preparing the technical paper requested at CMP 9,[43] to take into consideration the views expressed by Parties at this session and the written submissions provided before and at this session.[44]

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[42] Decision 2/CMP.9, annex.

[43] Decision 2/CMP.9, paragraph 6.

128. The SBI agreed to complete its consideration of the second review of the Adaptation Fund at SBI 41 on the basis of all the information provided in accordance with the terms of reference and the submissions referred to in paragraph 125 above, with a view to recommending a draft decision on this matter for consideration and adoption at CMP 10.

# XI. Development and transfer of technologies and implementation of the Technology Mechanism

(Agenda item 11)

## A. Joint annual report of the Technology Executive Committee and the Climate Technology Centre and Network for 2013

(Agenda sub-item 11(a))

### 1. Proceedings

129. The SBI considered this agenda sub-item at its 1st and 2nd meetings. Statements were made by representatives of three Parties, including one speaking on behalf of AOSIS and one on behalf of the LDCs.

130. At its 1st meeting, the SBI agreed to consider this agenda sub-item in informal consultations co-facilitated by Mr. Carlos Fuller (Belize) and Ms. Elfriede More (Austria).

131. At its 2nd meeting, the SBI considered and adopted the conclusions below.[45]

### 2. Conclusions

132. The SBSTA and the SBI, as requested at COP 19, continued consideration of the joint annual report of the TEC and the Climate Technology Centre and Network (CTCN) for 2013[46] with a view to forwarding a draft decision for consideration and adoption at COP 20.[47]

133. The SBSTA and the SBI invited the TEC to further strengthen the linkages with organizations inside and outside the Convention, as referred to in document FCCC/SB/2012/1, annex II, paragraph 3, which undertake work relating to enabling environments for and barriers to the development and transfer of technology, including those issues referred to in document FCCC/SB/2012/2, paragraph 35.

134. The SBSTA and the SBI recommended a draft decision on the joint annual report of the TEC and the CTCN for 2013 for consideration and adoption at COP 20 (for the text of the draft decision, see document FCCC/SBI/2014/8/Add.1).

## B. Poznan strategic programme on technology transfer

(Agenda sub-item 11(b))

### 1. Proceedings

135. The SBI considered this agenda sub-item at its 1st and 2nd meetings. It had before it document FCCC/SBI/2014/INF.3. Statements were made by representatives of one Party.

[44] The submissions are available at <http://www4.unfccc.int/submissions/SitePages/sessions.aspx>.
[45] Draft conclusions presented in document FCCC/SB/2014/L.1 and Add.1.
[46] FCCC/SB/2013/1.
[47] FCCC/CP/2013/10, paragraph 75.

136. At its 1st meeting, the SBI agreed to consider this agenda sub-item in informal consultations co-facilitated by Ms. More and Mr. Fuller.

137. At its 2nd meeting, the SBI considered and adopted the conclusions below.[48]

## 2. Conclusions

138. The SBI noted the report of the GEF on the progress made in carrying out the Poznan strategic programme on technology transfer,[49] including the findings arising from the consultations between the GEF and the Advisory Board of the CTCN on the support that the GEF will provide for the work of the CTCN.

139. The SBI invited the GEF to continue to consult with the Advisory Board of the CTCN on the support that the GEF will provide for the implementation of the five-year programme of work of the CTCN and to report on its findings for consideration at SBI 41.

140. The SBI also invited the CTCN to include information on the support that it has received from the GEF and other relevant organizations in the 2014 joint annual report of the TEC and the CTCN for consideration at COP 20.

141. The SBI recalled its conclusions at SBI 39, namely the need for the GEF to align the further implementation of the element of the Poznan strategic programme on support for climate technology centres and a climate technology network with the operationalization and activities of the CTCN, taking into account decision 2/CP.17, paragraph 140,[50] and to consult with the Advisory Board of the CTCN on this matter and report on its findings for consideration at SBI 41.

142. The SBI invited the TEC to evaluate the Poznan strategic programme with the aim of enhancing the effectiveness of the Technology Mechanism and to report back to COP 20 through SBI 41.

143. The SBI welcomed the approval by the GEF Council of a new project of the United Nations Environment Programme which provides technical and financial support to 27 non-Annex I Parties for conducting or updating their technology needs assessments (TNAs) and technology action plans, as well as the approval of six national projects incorporating TNA support activities.

144. The SBI noted the need for Parties to enhance and follow up the TNA process by further promoting the development and implementation of economically, environmentally and socially sound project proposals.

145. The SBI invited the GEF to further support the implementation of the results of TNAs, including technology action plans and project ideas prepared by non-Annex I Parties.

[48] Draft conclusions presented in document FCCC/SBI/2014/L.12.
[49] FCCC/SBI/2014/INF.3.
[50] FCCC/SBI/2013/20, paragraph 138.

# XII. Capacity-building

(Agenda item 12)

## A. Capacity-building under the Convention

(Agenda sub-item 12(a))

### 1. Proceedings

146. The SBI considered this agenda sub-item at its 1st and 2nd meetings. It had before it documents FCCC/SBI/2014/2 and Add.1, FCCC/SBI/2014/7 and FCCC/SBI/2014/MISC.2 and Add.1 and 2. Statements were made by representatives of two Parties, including one speaking on behalf of the LDCs.

147. At its 1st meeting, the SBI agreed to consider this agenda sub-item in informal consultations facilitated by Mr. Tosi Mpanu Mpanu (Democratic Republic of the Congo). As Mr. Mpanu Mpanu was unable to attend the entire session, Mr. Gwage was invited to facilitate the last of these consultations.

148. At its 2nd meeting, the SBI considered and adopted the conclusions below.[51]

### 2. Conclusions

149. The SBI welcomed the success of the 2nd and 3rd meetings of the Durban Forum for in-depth discussion on capacity-building, held during SBI 38 and 40.

150. The SBI expressed its appreciation to Parties and representatives of intergovernmental and non-governmental organizations and the private sector for their active participation in the 2nd and 3rd meetings of the Durban Forum and for the sharing of experiences and exchanging of ideas, best practices and lessons learned regarding the implementation of capacity-building activities.

151. The SBI welcomed the launch of the UNFCCC capacity-building portal.[52]

152. The SBI continued, but did not conclude, its consideration of capacity-building for developing countries under the Convention. It agreed to continue its consideration of the matter at SBI 41 on the basis of the draft decision text contained in the annex to document FCCC/SBI/2014/L.13, with a view to recommending a draft decision for consideration and adoption at COP 20.

## B. Capacity-building under the Kyoto Protocol

(Agenda sub-item 12(b))

### 1. Proceedings

153. The SBI considered this agenda sub-item at its 1st and 2nd meetings. It had before it documents FCCC/SBI/2014/2 and Add.1, FCCC/SBI/2014/7 and FCCC/SBI/2014/MISC.2 and Add.1 and 2.

154. At its 1st meeting, the SBI agreed to consider this agenda sub-item in informal consultations co-facilitated by Mr. Mpanu Mpanu. As Mr. Mpanu Mpanu was unable to attend the entire session, Mr. Gwage was invited to facilitate the last of these consultations.

155. At its 2nd meeting, the SBI considered and adopted the conclusions below.[53]

[51] Draft conclusions presented in document FCCC/SBI/2014/L.13.

[52] <http://unfccc.int/capacitybuilding/core/activities.html>.

### 2. Conclusions

156. The SBI welcomed the success of the 2nd and 3rd meetings of the Durban Forum for in-depth discussion on capacity-building, held during SBI 38 and 40.

157. The SBI expressed its appreciation to Parties and representatives of intergovernmental and non-governmental organizations and the private sector for their active participation in the 2nd and 3rd meetings of the Durban Forum and for the sharing of experiences and exchanging of ideas, best practices and lessons learned regarding the implementation of capacity-building activities related to the implementation of the Kyoto Protocol.

158. The SBI welcomed the launch of the UNFCCC capacity-building portal.[54]

159. The SBI continued, but did not conclude, its consideration of capacity-building for developing countries under the Kyoto Protocol. It agreed to continue its consideration of the matter at SBI 41 on the basis of the draft decision text contained in the annex to document FCCC/SBI/2013/L.18/Rev.1, with a view to recommending a draft decision for consideration and adoption at CMP 10.

## XIII. Parties included in Annex I to the Convention whose special circumstances are recognized by the Conference of the Parties

(Agenda item 13)

### 1. Proceedings

160. The SBI considered this agenda item at its 1st meeting and resumed 2nd meeting. At its 1st meeting, the SBI agreed to consider this agenda item in informal consultations facilitated by Ms. Marzena Chodor (Poland). The representative of one Party made a statement.

161. At its 2nd meeting, the SBI considered and adopted the conclusions below.[55]

### 2. Conclusions

162. In accordance with decision 1/CP.18, paragraph 96, SBI 40 continued its consideration of the technical paper prepared by the secretariat[56] in line with decision 1/CP.18, paragraph 95.

163. The SBI took note of information contained in the technical paper referred to in paragraph 162 above.

164. The SBI also took note of the submission from Turkey dated 14 February 2014.[57]

165. The SBI concluded that no further discussion was required under this agenda item, deemed its consideration of this agenda item completed and recommended a draft decision on this matter for consideration and adoption at COP 20 (for the text of the draft decision, see document FCCC/SBI/2014/8/Add.1).

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[54] Draft conclusions presented in document FCCC/SBI/2014/L.14.

[55] <http://unfccc.int/capacitybuilding/core/activities.html>.

[56] Draft conclusions presented in document FCCC/SBI/2014/L.22 and Add.1.

[57] FCCC/TP/2013/3.

[58] <http://www4.unfccc.int/submissions/SitePages/sessions.aspx?showOnlyCurrentCalls=1&populateData=1&expectedsubmissionfrom=Parties>.

# XIV. Article 6 of the Convention

(Agenda item 14)

## 1. Proceedings

166. The SBI considered this agenda item at its 1st meeting and resumed 2nd meeting. It had before it document FCCC/SBI/2014/3. Statements were made by representatives of two Parties: one spoke on behalf of the G77 and China, and one on behalf of the LDCs.

167. At its 1st meeting, the SBI agreed to consider this agenda item in informal consultations facilitated by Ms. Anne Rasmussen (Samoa).

168. At its 2nd meeting, the SBI considered and adopted the conclusions below.[58]

## 2. Conclusions

169. The SBI concluded that the 3rd and 4th Dialogues on Article 6 of the Convention will be convened during SBI 42, and SBI 44 (May 2016), respectively, in Bonn, and agreed that it will consider the issue of subsequent meetings of the Dialogue as part of the intermediate review of the implementation of the Doha work programme on Article 6 of the Convention at SBI 44.

170. The SBI invited Parties, admitted observer organizations and other stakeholders to submit to the secretariat, by 18 February 2015, their feedback on the organization of the 2nd Dialogue and their views on the agenda for the 3rd Dialogue, which will focus on education, training and international cooperation on these matters.

171. The SBI took note of the report on good practices of stakeholder participation in implementing Article 6 of the Convention prepared by the secretariat[59] and invited Parties and other stakeholders to replicate the examples and approaches contained therein.

172. The SBI agreed to develop terms of reference for the intermediate review of the implementation of the Doha work programme to evaluate its effectiveness, identify any emerging gaps and needs and inform any decisions on improving the work programme's effectiveness, as appropriate, for consideration at SBI 42, with a view to launching the review at SBI 44.

173. The SBI decided to take into account the proposals contained in the annex to document FCCC/SBI/2014/L.20 as input to the intermediate review of the implementation of the Doha work programme in 2016 and invited Parties, admitted observer organizations and other stakeholders to submit further ideas to the secretariat by 18 February 2015.

# XV. Impact of the implementation of response measures

(Agenda item 15)

## A. Forum and work programme

(Agenda sub-item 15(a))

### 1. Proceedings

174. The SBI considered this agenda sub-item at its 1st and 2nd meetings. It had before it document FCCC/SBI/2014/INF.1.

[58] Draft conclusions presented in document FCCC/SBI/2014/L.20.

[59] FCCC/SBI/2014/3.

175. At its 1st meeting, the SBI agreed to consider this agenda sub-item jointly with agenda sub-item 10(a) of the SBSTA in a contact group co-chaired by the Chair of the SBI, Mr. Yauvoli, and the Chair of the SBSTA, Mr. Emmanuel Dumisani Dlamini (Swaziland). The SBI also agreed to consider this agenda sub-item, at this session, jointly with agenda sub-items 15(b) and (c).

176. At its 2nd meeting, the SBI considered and adopted the conclusions below.[60]

## 2. Conclusions

177. The SBSTA and the SBI welcomed the report[61] on the in-forum workshop on area (b)[62] of the work programme on the impact of the implementation of response measures.

178. The SBSTA and the SBI noted that a variety of submissions from Parties on the review of the work of the forum on the impact of the implementation of response measures, pursuant to decision 8/CP.17, paragraph 5, were received, and that the compilation of those submissions[63] concluded the review.

179. The SBSTA and the SBI welcomed the constructive discussions and negotiations that took place among Parties under the forum during SBSTA 40 and SBI 40. They encouraged Parties to continue their fruitful engagement in order to enhance their work on the impact of the implementation of response measures under the Convention.

180. The SBSTA and the SBI invited Parties, experts, practitioners and relevant organizations to submit to the secretariat, by 22 September 2014, their views on options to strengthen opportunities for cooperation and collaboration among Parties related to this agenda sub-item, and requested the secretariat to prepare, subject to the availability of financial resources, a technical paper on areas of convergence related to areas of cooperation, as well as a synthesis paper, both based on the reports on the work of the forum,[64] the submissions, presentations and statements made and the review of the work of the forum, for consideration at SBSTA 41 and SBI 41, without prejudice to the consideration by the COP referred to in paragraph 181 below.

181. The SBSTA and the SBI took note of the submissions made by Parties of proposals regarding a draft decision to take the work forward[65] and agreed to forward them for consideration at SBSTA 41 and SBI 41 with a view to providing recommendations for consideration at COP 20.

182. The SBSTA and the SBI also took note of the estimated budgetary implications of the activities to be undertaken by the secretariat referred to in paragraph 180 above. They requested that the actions of the secretariat called for in these conclusions be undertaken subject to the availability of financial resources.

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[60] Draft conclusions presented in document FCCC/SB/2014/L.2.

[61] FCCC/SB/2014/INF.1.

[62] Cooperation on response strategies.

[63] The compilation of views on the review is contained in annex I to document FCCC/SB/2014/L.2.

[64] FCCC/SB/2013/INF.2, FCCC/SB/2013/INF.3, FCCC/SB/2013/INF.4, FCCC/SB/2013/INF.8, FCCC/SB/2013/INF.9, FCCC/SB/2013/INF.10 and FCCC/SB/2013/INF.11.

[65] The submissions are contained in annex II to document FCCC/SB/2014/L.2.

### B. Matters relating to Article 3, paragraph 14, of the Kyoto Protocol
(Agenda sub-item 15(b))

#### Proceedings

183. The SBI considered this agenda sub-items at its 1st and 2nd meetings. At its 1st meeting, on a proposal by the Chair, the SBI agreed to consider, at this session, this agenda sub-item jointly with agenda sub-item 15(a) of the SBI and agenda sub-item 10(b) of the SBSTA. At the same meeting, the SBI also agreed that the SBI Chair would undertake consultations with interested Parties on how to take up this agenda sub-item at the next session.

184. At its 2nd meeting, the SBI agreed to continue, at SBI 41, consultations on how to take up this agenda sub-item.

### C. Progress on the implementation of decision 1/CP.10
(Agenda sub-item 15(c))

#### Proceedings

185. The SBI considered this agenda sub-item at its 1st and 2nd meetings. At its 1st meeting, on a proposal by the Chair, the SBI agreed to consider, at this session, this agenda sub-item jointly with agenda sub-item 15(a). At the same meeting, the SBI also agreed that the SBI Chair would undertake consultations with interested Parties on how to take up this sub-item at the next session.

186. At its 2nd meeting, the SBI agreed to continue, at SBI 41, consultations on how to take up this agenda sub-item.

## XVI. The 2013–2015 review
(Agenda item 16)

### 1. Proceedings

187. The SBI considered this agenda item at its 1st and 2nd meetings. It had before it documents FCCC/SB/2014/MISC.1 and Add.1 and FCCC/SB/2014/MISC.2 and Add.1.

188. At its 1st meeting, the SBI agreed to consider this agenda item jointly with agenda item 7 of the SBSTA in a contact group co-chaired by Ms. Gertraude Wollansky (Austria) and Mr. Leon Charles (Grenada).

189. At its 2nd meeting, the SBI considered and adopted the conclusions below.[66]

### 2. Conclusions

190. The SBSTA and the SBI took note of the views submitted by Parties[67] and of the summary report[68] on the second meeting of the structured expert dialogue (SED), held on 12 and 13 November 2013 in Warsaw, Poland.[69]

191. The SBSTA and the SBI welcomed the recently completed contributions of Working Groups II[70] and III[71] to the Intergovernmental Panel on Climate Change (IPCC)

[66] Draft conclusions presented in document FCCC/SB/2014/L.3.
[67] FCCC/SB/2014/MISC.1 and Add.1 and FCCC/SB/2014/MISC.2 and Add.1.
[68] Available at <http://unfccc.int/7803.php>.
[69] Further information on the second meeting of the SED is available at <http://unfccc.int/7803.php>.

Fifth Assessment Report (AR5). Those contributions, together with the contribution of Working Group I,[72] provide information for assessing the adequacy of the long-term global goal and of the overall progress made towards achieving it.

192. The SBSTA and the SBI also welcomed the third meeting of the SED, held from 6 to 8 June 2014 in Bonn, which, on the basis of the contributions of Working Groups II and III to the AR5, explored the adequacy of the long-term global goal and the overall progress made towards achieving it, and they looked forward to the summary report on that meeting. They noted with appreciation the contributions made by the representatives of the IPCC at the meeting and encouraged the IPCC and other organizations to continue to support the future work of the SED. They also noted the value of the SED in enabling Parties to proactively contribute to the dialogue and engage with scientific and other experts.

193. The SBSTA and the SBI noted that the IPCC will have released the AR5 Synthesis Report before SBSTA 41 and SBI 41 and agreed to consider that report, as well as information from the sources referred to in decision 2/CP.17, paragraph 161(b–d), at the meeting of the SED that will be held in conjunction with those sessions.

194. The SBSTA and the SBI requested the co-facilitators of the SED, with the support of the secretariat, to convene an additional meeting of the SED after SBSTA 41 and SBI 41, in conjunction with a meeting of the Ad Hoc Working Group on the Durban Platform for Enhanced Action (ADP)[73] and prior to SBSTA 42 and SBI 42, noting decision 1/CP.18, paragraph 88, to consider the inputs referred to in decision 2/CP.17, paragraph 161, in particular its subparagraphs (b–d), with a view to closing the SED prior to SBSTA 42 and SBI 42 in accordance with decision 1/CP.18, paragraph 91.

195. The SBSTA and the SBI requested the secretariat to prepare a note containing an indicative, descriptive identification of what information, as listed in decision 2/CP.17, paragraph 161(b), will be available for consideration by the SED and by when, and to make it available to Parties no later than 1 October 2014.

196. Consistent with the objective to maintain the scientific integrity of the 2013–2015 review, as referred to in decision 1/CP.18, paragraph 85, the SBSTA and the SBI requested the co-facilitators of the SED to consult with recognized scientific experts, as needed, to identify potential additional inputs to the SED, taking into account decision 2/CP.17, paragraph 161(c) and (d), and decision 1/CP.18, paragraph 84.

197. The SBSTA and the SBI, consistent with decision 2/CP.17, paragraphs 164 and 166, and decision 1/CP.18, paragraph 86(b), invited Parties to submit to the secretariat, by 1 November 2014, their views on additional inputs to the SED, on how to conclude the 2013–2015 review and on the final reporting of the SBSTA and the SBI to COP 21 (November–December 2015), and requested the secretariat to make those submissions available on the UNFCCC website.

198. While noting that the work of the 2013–2015 review is still in progress, the SBSTA and the SBI also noted that the 2013–2015 review informs the broader UNFCCC process through, inter alia, the material provided by experts, the summary reports on the meetings of the SED and the co-facilitators' reports to the COP. Mindful of decision 1/CP.17,

[72] *Climate Change 2014: Impacts, Adaptation and Vulnerability*. Available at <http://www.ipcc.ch/report/ar5/wg2>.

[73] *Climate Change 2014: Mitigation of Climate Change*. Available at <http://www.ipcc.ch/report/ar5/wg3>.

[74] *Climate Change 2013: The Physical Science Basis*. Available at <http://www.ipcc.ch/report/ar5/wg1>.

[75] Pending the decision of the ADP to hold such a meeting.

paragraph 6. Parties are encouraged to continue to take note of the information from the 2013–2015 review as they engage in the ADP process.

199. The SBSTA and the SBI took note of the estimated budgetary implications of the activities to be undertaken by the secretariat referred to in paragraph 194 above. They requested that the actions of the secretariat called for in these conclusions be undertaken subject to the availability of financial resources.

## XVII. Arrangements for intergovernmental meetings

(Agenda item 17)

### 1. Proceedings

200. The SBI considered this agenda item at its 1st meeting and resumed 2nd meeting. It had before it document FCCC/SBI/2014/6. Representatives of four Parties made statements.

201. At its 1st meeting, the SBI agreed to consider this agenda item in a contact group chaired by the SBI Chair.

202. At its 2nd meeting, the SBI considered and adopted the conclusions below.[74] Also, at the same meeting, the Chair reported on his bilateral consultations with interested Parties held during the session, during which he shared his views on how to organize the multilateral assessment working group session during SBI 41 and sought further guidance from Parties on this new process.[75] His oral report is available on the SBI 40 web page under item 17, "Arrangements for intergovernmental meetings".[76]

### 2. Conclusions

203. The SBI expressed its gratitude to the Government of Peru for offering to host COP 20 and CMP 10 in Lima, Peru, from 1 to 12 December 2014. It took note with appreciation of the preparations and efforts of the Government of Peru and the secretariat to ensure the success of COP 20 and CMP 10.

204. The SBI recommended that arrangements be made to organize the high-level segment of COP 20 and CMP 10 from Tuesday, 9 December, to Friday, 12 December, with statements delivered by ministers, other heads of delegation and representatives of intergovernmental organizations and non-governmental organizations (NGOs). In order to ensure the timely closure of the conference and that the COP and the CMP can adopt decisions and conclusions in the morning of Friday, 12 December, the inauguration of the high-level segment will take place in the morning of Tuesday, 9 December. In the afternoon, following the inauguration, national statements by ministers and other heads of delegation will be heard at a joint meeting of the COP and the CMP. National statements will continue at joint meetings scheduled for Wednesday, 10 December, and Thursday, 11 December. Later that Thursday, a joint meeting of the COP and the CMP will be held where statements by observer organizations will be heard.

205. The SBI concluded that arrangements be made for the delivery of concise national statements by ministers and other heads of delegation, with a recommended time limit of three minutes, and concise statements by representatives of intergovernmental

[74] Draft conclusions presented in document FCCC/SBI/2014/L.21.

[75] As per the modalities and procedures for the international assessment and review process adopted at COP 17 and contained in annex II to decision 2/CP.17.

[76] <www.unfccc.int/8014>.

organizations and NGOs, with a recommended time limit of two minutes, in the joint meetings of the COP and the CMP during the high-level segment.

206. The SBI requested the secretariat to take note of the views expressed by Parties on the possible elements of the provisional agendas for COP 20 and CMP 10.

207. The SBI invited the Bureau to finalize the details of the arrangements for COP 20 and CMP 10, including arrangements for the high-level segment, in consultation with the President Designate of COP 20 and CMP 10 and the secretariat. It also stressed the importance of the principles of openness, transparency and inclusiveness in finalizing the arrangements for sessions.

208. The SBI noted that, in keeping with the principle of rotation among regional groups, the President of COP 22 and CMP 12 would come from the African States. It recalled the offer of the Government of Senegal to host COP 22 and CMP 12.[77] It further noted that, in keeping with the principle of rotation among regional groups, the President of COP 23 and CMP 13 would come from the Asia-Pacific States.

209. The SBI invited Parties to come forward with offers to host future sessions of the COP and the CMP.

210. The SBI discussed its previous conclusions[78] on the dates for future sessional periods and agreed to recommend to the COP that future sessions of the COP and the CMP, including those for 2019, commence on a Monday with work being completed on the Friday of the second week.

211. The SBI recommended the following dates for future sessions of the COP and CMP:[79]

(a) 2015: Monday, 30 November, to Friday, 11 December (COP 21/CMP 11);[80]

(b) 2016: Monday, 7 November, to Friday, 18 November (COP 22/CMP 12);

(c) 2017: Monday, 6 November, to Friday, 17 November (COP 23/CMP 13);

(d) 2018: Monday, 5 November, to Friday, 16 November (COP 24/CMP 14);

(e) 2019: Monday, 11 November, to Friday, 22 November (COP 25/CMP 15).

212. The SBI discussed its previous conclusions[81] on the dates for future sessional periods and agreed to recommend to the COP that future sessional dates for the May/June sessions of the subsidiary bodies, including those for 2019, should commence on a Monday and that, in order to enhance efficiency and time management, work should be completed one day earlier so as to finish on the Thursday of the second week.

213. The SBI further recommended that all meetings, at the May/June sessions of the subsidiary bodies, taking place on a Saturday, be completed by midday in order to enhance the efficiency, timeliness and transparency of work.

214. The SBI recommended the following dates for future sessions of the May/June sessions of the subsidiary bodies:[82]

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[77] Decision 28/CP.19, paragraph 5.

[78] FCCC/SBI/2008/8, paragraph 136, FCCC/SBI/2009/8, paragraph 115, and FCCC/SBI/2010/10, paragraph 159.

[79] These dates do not prejudge future decisions on the arrangements for intergovernmental meetings.

[80] These dates were agreed in decision 28/CP.19, paragraph 3.

[81] FCCC/SBI/2008/8, paragraph 136, FCCC/SBI/2009/8, paragraph 115, and FCCC/SBI/2010/10, paragraph 159.

[82] These dates do not prejudge future decisions on the arrangements for intergovernmental meetings.

(a) 2015: Monday, 1 June, to Thursday, 11 June (SBSTA/SBI 42);

(b) 2016: Monday, 16 May, to Thursday, 26 May (SBSTA/SBI 44);

(c) 2017: Monday, 8 May, to Thursday, 18 May (SBSTA/SBI 46);

(d) 2018: Monday, 30 April, to Thursday, 10 May (SBSTA/SBI 48);

(e) 2019: Monday, 17 June, to Thursday, 27 June (SBSTA/SBI 50).

215. The SBI welcomed the views expressed by Parties on ways to improve the organization of the intergovernmental process and affirmed the need to consider this matter with a sense of urgency. It also stressed the need to take into account, in considering this matter, the principles of openness, transparency and inclusiveness as well as the importance of effectiveness, credibility and legitimacy.

216. In this regard, the SBI requested the secretariat to prepare the following two documents for consideration at SBI 41:

(a) A document outlining various options relating to the frequency and organization of the sessions of the COP, the CMP and their subsidiary bodies. The document should also include scenarios and related implications for various options for the periodicity and venue, and for whether future sessions of the subsidiary bodies should be held in conjunction with the COP and the CMP. The document should further include the scenarios and related implications for various options including, but not limited to, current arrangements for annual COP and CMP sessions; biennial COP and CMP sessions; and annual COP and CMP sessions at venues alternating every year between a host country and the seat of the secretariat and in keeping with the principle of rotation among regional groups. The document should also explore whether every session of the COP and the CMP requires a high-level segment.

The document should also include an analysis of the impacts of the options, including budgetary implications (and funding available for the participation of eligible developing countries) and impact on the work of the COP and the CMP and their subsidiary bodies. The document would be guided by the principles of openness, transparency and inclusiveness;

(b) A document on adjusting the timing of the election of the President, including options for strengthened coordination between the President and incoming Presidencies to ensure smooth transition.

217. The SBI noted that the documents outlined in paragraph 216 above would not prejudge the outcome in the consideration of these issues.

218. The SBI urged current and future presiding officers to ensure the observance of the draft rules of procedure,[83] and to enforce clear and effective time management practices at all sessions in line with previously adopted conclusions of the SBI.[84] It also urged Parties and presiding officers to make greater efforts to conclude negotiations and conferences in a timely manner, respecting and complying with the previous SBI conclusions[85] and requested elected officers, in fulfilling their duties, to act accordingly.

219. The SBI reemphasized its previously adopted conclusions that all meetings should end by 6.00 p.m., particularly to give Parties and regional groups sufficient time to prepare

[83] FCCC/CP/1996/2.

[84] FCCC/SBI/2009/8, paragraph 115, and FCCC/SBI/2010/10, paragraph 165.

[85] As footnote 84 above.

for daily meetings, but may, in exceptional circumstances, and on a case-by-case basis, continue for two to three hours.[86]

220. The SBI expressed concern regarding implementing and complying with the adopted conclusions outlined in paragraph 219 above. It also stressed the need to improve working processes, including for the post-2015 period, in line with previously adopted conclusions. The SBI also stressed the importance of observing the relevant procedures and working practices agreed to by all Parties.

221. The SBI emphasized that the adopted conclusions referred to in paragraph 219 above should be respected by all concerned and also highlighted the need to implement, in this context, realistic and practical ways forward for effective time management.

222. The SBI took note of the update provided by the secretariat on observer participation and the implementation of the SBI conclusions on ways to further enhance the engagement of observer organizations in the intergovernmental process.[87]

223. The SBI reaffirmed the fundamental value of effective participation by observers and the value of contributions from observer organizations to deliberations on substantive issues, while recognizing the recent significant increase in the number of participants from observer organizations.[88] The SBI also recognized the importance of the effective participation of NGOs, particularly from developing countries.

224. The SBI recognized that side events and exhibits are an essential part of the UNFCCC process and an important tool for engaging observers in knowledge-sharing, networking and the exploring of actionable options for meeting the climate challenge. In this context, Parties recognized the need for financial support to the important work in relation to these activities, expressed concern about the cost recovery proposal, and encouraged alternatives to be proposed.

225. The SBI recalled the conclusions adopted at SBI 34 on various ways to engage observer organizations in the intergovernmental process,[89] and requested the secretariat to provide, subject to the availability of resources, a regular report every two years on the implementation of these conclusions.

# XVIII. Administrative, financial and institutional matters

(Agenda item 18)

## A. Financial matters

(Agenda sub-item 18(a))

### 1. Proceedings

226. The SBI considered this agenda sub-item at its 1st and 2nd meetings. It had before it documents FCCC/SBI/2014/INF.8 and FCCC/SBI/2014/INF.9. The Executive Secretary made a statement.

227. At the 1st meeting, the Chair proposed drafting conclusions and a draft decision on this agenda sub-item, with the assistance of the secretariat and in consultation with interested Parties.

[86] As footnote 84 above.
[87] FCCC/SBI/2013/4, paragraphs 29–35, and FCCC/SBI/2014/6, paragraphs 29–33.
[88] FCCC/SBI/2011/7, paragraph 171.
[89] FCCC/SBI/2011/7, paragraphs 175–178.

228. At its 2nd meeting, the SBI considered and adopted the conclusions below.[90]

### 2. Conclusions

229. The SBI took note of the information relating to the status of contributions as at 15 May 2014. It expressed its appreciation to the Parties that had paid their indicative contributions to the core budget and their fees for the ITL on time. The SBI also expressed concern over outstanding contributions and urged those Parties that have not paid their contributions yet to do so as soon as possible.

230. The SBI also expressed its appreciation to those Parties that had made voluntary contributions to the Trust Fund for Participation in the UNFCCC Process and the Trust Fund for Supplementary Activities. The SBI noted with concern the insufficient level of funds to cover the costs for participation of representatives of eligible Parties in the sessions of the ADP scheduled for October 2014 and in the United Nations Climate Change Conference to be held in Lima in December 2014. The SBI urged Parties to further contribute to the Trust Fund for Participation in the UNFCCC Process to ensure the widest possible participation in the negotiations in 2014 and to the Trust Fund for Supplementary Activities.

231. The SBI considered the proposed revisions to the financial procedures required for the adoption of the International Public Sector Accounting Standards and recommended a draft decision on this matter for consideration and adoption at COP 20 (for the text of the draft decision, see document FCCC/SBI/2014/8/Add.1).

## B. Continuing review of the functions and operations of the secretariat
(Agenda sub-item 18(b))

### Proceedings

232. The SBI considered this agenda sub-item at its 1st meeting. It had before it document FCCC/SBI/2014/INF.4 and took note of the information contained in it.

## C. Implementation of the Headquarters Agreement
(Agenda sub-item 18(c))

### 1. Proceedings

233. The SBI considered this agenda sub-item at its 1st and 2nd meetings. A representative of the Host Government of the secretariat and the Executive Secretary made statements.

234. At the 1st meeting, the Chair proposed drafting conclusions on this sub-item, with the assistance of the secretariat and in consultation with interested Parties.

235. At its 2nd meeting, the SBI considered and adopted the conclusions below.[91]

### 2. Conclusions

236. The SBI took note of the information provided by the representative of the Host Government of the secretariat that the City of Bonn has incorporated the latest United Nations requirements into the final plans for the new conference centre facilities and expects to complete construction by early 2015, in time for the forty-second sessions of the subsidiary bodies. The SBI noted that the existing conference centre facilities are already

[90] Draft conclusions presented in document FCCC/SBI/2014/L.16 and Add.1.
[91] Draft conclusions presented in document FCCC/SBI/2014/L.10.

being used to the satisfaction of participants and the secretariat; for example, sessions of the ADP were held there in 2013 and 2014.

237. The SBI also noted the information in the reports of the representative of the Host Government and the Executive Secretary that over half of the secretariat staff moved into new office premises on the United Nations Campus in September 2013, and that the design of an extension building on the United Nations Campus to accommodate the remaining staff is making good progress, with completion scheduled for 2018.

238. The SBI thanked the Host Government for the progress reports and acknowledged the special efforts and investments made by both the Host Government and the host city of Bonn, including, for example, the special contribution by the Host Government of EUR 1 million to the ADP process. It encouraged the Host Government to continue to provide support for the establishment and operation of the conference centre as a permanent forum for the intergovernmental process at the seat of the secretariat.

239. The SBI welcomed the encouraging developments regarding the conference centre. In accordance with decisions 27/CP.19 and 25/CP.18, it requested the secretariat to maximize the combined use of the new office and conference facilities for UNFCCC sessions and meetings in order to reduce costs and further enhance the services available at the seat of the secretariat.

240. The SBI welcomed the establishment of systematic collaboration between the Host Government, the secretariat and other relevant stakeholders on issues such as office and meeting facilities and information and services for meeting participants, and encouraged the Host Government and the secretariat to maintain this process of close and regular consultations.

241. The SBI requested the secretariat to continue to update Parties on the UNFCCC website about these and other aspects of the implementation of the Headquarters Agreement, and invited the Host Government and the Executive Secretary to report to SBI 42 on further progress made.

## D. Privileges and immunities for individuals serving on constituted bodies established under the Kyoto Protocol

(Agenda sub-item 18(d))

### 1. Proceedings

242. The SBI considered this agenda sub-item at its 1st and 2nd meetings.

243. At its 1st meeting, the SBI agreed to consider this agenda sub-item in informal consultations facilitated by Mr. Shimada.

244. At its 2nd meeting, the SBI considered and adopted the conclusions below.[92]

### 2. Conclusions

245. The SBI took note of the views of Parties on privileges and immunities for individuals serving on constituted bodies established under the Kyoto Protocol.

246. The SBI agreed to continue its consideration of this matter at SBI 44 on the basis of the draft treaty arrangements on privileges and immunities for individuals serving on constituted bodies established under the Kyoto Protocol.[93]

[92] Draft conclusions presented in document FCCC/SBI/2014/L.6.

[93] FCCC/SBI/2012/15/Add.2, page 45.

### E. Privileges and immunities for individuals serving on constituted bodies established under the Convention

(Agenda sub-item 18(e))

#### 1. Proceedings

247. The SBI considered this agenda sub-item at its 1st and 2nd meetings.

248. At its 1st meeting, the SBI agreed to consider this agenda sub-item in informal consultations facilitated by Mr. Shimada.

249. At its 2nd meeting, the SBI considered and adopted the conclusions below.[94]

#### 2. Conclusions

250. The SBI took note of the views of Parties on privileges and immunities for individuals serving on constituted bodies established under the Convention. It also took note of the draft treaty arrangements on privileges and immunities for individuals serving on constituted bodies established under the Kyoto Protocol.[95]

251. The SBI agreed to continue its consideration of privileges and immunities for individuals serving on constituted bodies established under the Convention at SBI 44.

## XIX. Other matters

(Agenda item 19)

252. The SBI considered this item at its 1st meeting. The SBI Chair invited a member of the Standing Committee on Finance to provide its periodic update to the SBI on the status of its work relating to the fifth review of the financial mechanism.

## XX. Report on the session

(Agenda item 20)

253. At its resumed 2nd meeting, the SBI considered and adopted the draft report on SBI 40.[96] At the same meeting, on a proposal by the Chair, the SBI authorized the Rapporteur to complete the report on the session, with the assistance of the secretariat and under the guidance of the Chair.

## XXI. Closure of the session

#### 1. Administrative and budgetary implications

254. At the resumed 2nd meeting, the secretariat provided a preliminary evaluation of the administrative and budgetary implications of conclusions adopted during the session. This is pursuant to decision 16/CP.9, paragraph 20, which requests the Executive Secretary to provide an indication of the administrative and budgetary implications of decisions[97] if these cannot be met from existing resources within the core budget.

[94] Draft conclusions presented in document FCCC/SBI/2014/L.7.

[95] FCCC/SBI/2012/15/Add.2, page 45.

[96] FCCC/SBI/2014/L.1.

[97] While decision 16/CP.9 refers to "decisions", it also has implications for conclusions of the subsidiary bodies.

255. The secretariat informed Parties that a number of activities resulting from the negotiations at this session call for additional work by the secretariat and that, therefore, the secretariat requires additional resources in the coming year over and above the core budget for 2014–2015, including for the following activities:

(a) Under agenda sub-item 4(b), "Provision of financial and technical support",[98] funding in the amount of EUR 146,000 is required to make the updated GHG inventory software available to non-Annex I Parties in other United Nations languages by June 2015;

(b) Under agenda item 8, "National adaptation plans", the secretariat has been requested to organize a workshop prior to SBI 42.[99] The estimated cost is EUR 150,000. The staff costs for organizing the workshop, providing support in the preparation of an information paper and the workshop report will be absorbed by the core budget;

(c) Under agenda item 16, "The 2013–2015 review", the secretariat has been requested to support a meeting of the SED to be held after SBSTA 41 and SBI 41 and before SBSTA 42 and SBI 42, in conjunction with a meeting of the ADP.[100] The cost of this support is estimated at EUR 150,000. For Parties' information, these funds would also cover the activities requested under SBSTA agenda item 7;

(d) Under agenda item 17, "Arrangements for intergovernmental meetings", Parties recognized the need for financial support for the important work related to side events and exhibits as a tool for engaging observers.[101] This support is estimated at EUR 294,000 annually. The costs for preparing a biennial report on the implementation of the conclusions will be absorbed by the core budget.

256. The secretariat also noted that some of the conclusions adopted at SBI 40 will have budgetary implications beyond 2015. The implications for resource requirements for 2016–2017 will be reviewed in the context of established budgetary procedures.

## 2. Closure of the session

257. At the resumed 2nd meeting, closing statements were made by representatives of nine Parties, including one speaking on behalf of G77 and China, one on behalf of the Umbrella Group, one on behalf of the European Union and its member States, one on behalf of AOSIS, one on behalf of the African States and one on behalf of the LDCs.

258. Statements were also made by a representative of the GEF, as well as by representatives of ENGOs and on behalf of IPOs, women and gender, and YOUNGOs.

259. The Chair thanked Parties for their support during this session and closed the session.

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[98] See paragraph 32 above.
[99] See paragraph 106 above.
[100] See paragraph 194 above.
[101] See paragraph 224 above.

United Nations

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**Subsidiary Body for Implementation**

# Report of the Subsidiary Body for Implementation on its fortieth session, held in Bonn from 4 to 15 June 2014

## Addendum

## Draft decisions forwarded for consideration and adoption by the Conference of the Parties and the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol

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**Draft decision -/CP.20**

# Joint annual report of the Technology Executive Committee and the Climate Technology Centre and Network for 2013

*The Conference of the Parties*,

*Recalling* decisions 1/CP.16, 2/CP.17, 4/CP.17, 1/CP.18, 13/CP.18, 14/CP.18 and 25/CP.19,

*Also recalling* decisions 13/CP.18, paragraph 8, and 14/CP.18, paragraph 11,

1. *Welcomes* the joint annual report of the Technology Executive Committee and the Climate Technology Centre and Network for 2013[1] and the work these bodies undertook in 2013 to facilitate the effective implementation of the Technology Mechanism;

**Activities and performance of the Technology Executive Committee in 2013**

2. *Also welcomes* the effective implementation of the rolling workplan of the Technology Executive Committee for 2012–2013 and the key messages contained in the report referred to in paragraph 1 above;

3. *Adopts* the modalities of the Technology Executive Committee on linkages with other relevant institutional arrangements under and outside of the Convention contained in the annex to the report referred to in paragraph 1 above, with a view to promoting coherence and cooperation across technology activities under and outside of the Convention;[2]

**Activities and performance of the Climate Technology Centre and Network in 2013**

4. *Welcomes* the progress made by the United Nations Environment Programme, as the host of the Climate Technology Centre, in making the arrangements necessary for the full operationalization of the Climate Technology Centre and Network in 2013;

5. *Also welcomes* the timely completion of the mandated activities of the Advisory Board of the Climate Technology Centre and Network in 2013, which provided the necessary means for the Climate Technology Centre and Network to receive and respond to requests from developing country Parties in accordance with decision 1/CP.16, paragraph 123;

6. *Urges* Parties that have not yet nominated their national designated entity to promptly communicate their nomination to the secretariat through their national focal point;

7. *Invites* developing country Parties to submit requests, through their national designated entity, to the Climate Technology Centre and Network in accordance with decision 1/CP.16, paragraph 123;

8. *Acknowledges* with appreciation the financial support provided by Parties for the activities of the Climate Technology Centre and the mobilization of the services of the Network.

[1] FCCC/SB/2013/1.

[2] The text in the annex to the report referred to in paragraph 1 above will replace chapters V and VI of the modalities of the Technology Executive Committee adopted by decision 4/CP.17.

**Draft Decision -/CP.20**

## Revisions to the financial procedures for the Conference of the Parties, its subsidiary bodies and the secretariat[1]

*The Conference of the Parties,*

*Noting* that the United Nations General Assembly, by its resolution 60/283, approved the adoption of the International Public Sector Accounting Standards for the presentation of financial statements within the United Nations system,

*Also noting* that the UNFCCC secretariat, in keeping with the timeline established by the United Nations Secretariat, is scheduled to prepare its first financial statements in accordance with the International Public Sector Accounting Standards in April 2015,

*Having considered* the proposed revisions to the financial procedures for the Conference of the Parties, its subsidiary bodies and the secretariat required for the adoption of the International Public Sector Accounting Standards,[2]

*Approves* the proposed revisions to the financial procedures for the Conference of the Parties, its subsidiary bodies and the secretariat required for the adoption of the International Public Sector Accounting Standards contained in the annex to document FCCC/SBI/2014/INF.9.

[1] For greater clarity, a change in the title has been suggested by the secretariat.
[2] FCCC/SBI/2014/INF.9.

**Draft decision -/CP.20**

## Parties included in Annex I to the Convention whose special circumstances are recognized by the Conference of the Parties

*The Conference of the Parties*,

*Reaffirming* decisions 26/CP.7, 1/CP.16, 2/CP.17 and 1/CP.18, which recognized that Turkey is in a situation different from that of other Parties included in Annex I to the Convention,

*Also reaffirming* the importance of financial, technological and capacity-building support to Parties included in Annex I to the Convention whose special circumstances are recognized by the Conference of the Parties in order to assist these Parties in implementing the Convention,

1. *Recognizes* the opportunities for Parties included in Annex I to the Convention whose special circumstances are recognized by the Conference of the Parties to benefit, at least until 2020, from support from relevant bodies established under the Convention and other relevant bodies and institutions to enhance mitigation, adaptation, technology, capacity-building and access to finance;

2. *Encourages* Parties included in Annex I to the Convention whose special circumstances are recognized by the Conference of the Parties to fully utilize those opportunities;

3. *Urges* Parties included in Annex II to the Convention which are in a position to do so, through multilateral agencies, including the Global Environment Facility within its mandate, relevant intergovernmental organizations, international financial institutions, other partnerships and initiatives, bilateral agencies and the private sector, or through any further arrangements, as appropriate, to provide financial, technological, technical and capacity-building support to Parties included in Annex I to the Convention whose special circumstances are recognized by the Conference of the Parties in order to assist them in implementing their national strategies, actions and plans on climate change mitigation and adaptation, and developing their low-emission development strategies or plans in accordance with decision 1/CP.16.

**Draft decision -/CMP.10**

## Synergy relating to accreditation under the mechanisms of the Kyoto Protocol

*The Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol*,

*Recalling* decision 6/CMP.8, paragraph 15(b),

1. *Requests* the Executive Board of the clean development mechanism and the Joint Implementation Supervisory Committee to collaborate in considering the establishment of a joint accreditation committee under their authority and supervision and in the operation of accreditation, within the mandates established by decisions 3/CMP.1 and 9/CMP.1 [, x/CMP.10[1] and x/CMP.10[2]] and other relevant decisions of the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol related to accreditation;

2. *Also requests* the Executive Board of the clean development mechanism and the Joint Implementation Supervisory Committee to jointly develop and apply, as appropriate:

(a) Terms of reference of the joint accreditation committee, including its membership and roles and responsibilities, and jointly revise such terms of reference at appropriate times;

(b) A single regulatory framework for accreditation under the clean development mechanism and joint implementation, including specific provisions to determine compliance with requirements for a designated operational entity under the clean development mechanism and for an accredited independent entity under joint implementation;

3. *Further requests* the Executive Board of the clean development mechanism and the Joint Implementation Supervisory Committee to report on the progress of the actions referred to in paragraphs 1 and 2 above to the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol at its eleventh session (November–December 2015).

[1] Decision expected to be adopted on the agenda item titled "Review of the modalities and procedures for the clean development mechanism".

[2] Decision expected to be adopted on the agenda item titled "Review of the joint implementation guidelines".

**Draft decision -/CMP.10**

# Date of the completion of the expert review process under Article 8 of the Kyoto Protocol for the first commitment period

*The Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol,*

*Recalling* decision 27/CMP.1, annex, section XIII,

*Also recalling* decisions 13/CMP.1, 14/CMP.1 and 22/CMP.1,

*Emphasizing* the importance of the expert review process under Article 8 of the Kyoto Protocol for the last year of the commitment period, in view of the central role of this process in the assessment of Party compliance with commitments under Article 3, paragraph 1, of the Kyoto Protocol,

*Concerned* that a significant proportion of annual inventory review reports have not been finalized by 15 April of the year following the submission of annual reports in recent annual review cycles, despite measures identified to facilitate their timely completion,

*Recognizing* that the 2014 review process may encounter further difficulty due to the complexity of the process, as it is the last review for the first commitment period and that delays may result from factors that are not within the control of the Party subject to review,

*Recalling* that the secretariat maintains a compilation and accounting database to compile and account for emissions and assigned amounts, pursuant to Article 3, paragraphs 7 and 8, of the Protocol and of additions to, and subtractions from, assigned amounts, pursuant to the same paragraphs, for the accounting of the compliance assessment, in order to facilitate the assessment of the compliance of each Party included in Annex I with its commitment under Article 3, paragraph 1, of the Protocol,

*Noting* the importance of transparent information on the status of the 2014 compliance review in advance of the eleventh session of the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol, to be held from 30 November to 11 December 2015,

1. *Decides* that the expert review process under Article 8 of the Kyoto Protocol for the last year of the first commitment period shall be completed by 10 August 2015 and decides that if the expert review process is not completed by this date, it shall continue, and the date of completion shall be the date of publication of the last inventory review report for the last year of the first commitment period;

2. *Urges* the secretariat to expedite the review process to satisfy this deadline;

3. *Decides* that the report upon expiration of the additional period for fulfilling commitments for the first commitment period, covering the information required in decision 13/CMP.1, annex, paragraph 49, using the standard electronic format tables as agreed in decision 14/CMP.1, shall be submitted as soon as practicable but not later than 45 days after the expiration of the additional period for fulfilling commitments for the first commitment period (hereinafter referred to as the true-up period);

4. *Also decides* that the secretariat shall produce, in electronic format, on 30 September 2015 and every four weeks thereafter, until the month of the completion of the true-up

period, the following information for each Party with a commitment in Annex B for the first commitment period, indicating clearly the source of this information:

(a) Inventory data for each year of the commitment period;

(b) Total emissions over the commitment period;

(c) Total quantity of units held in Party holding accounts, cancellation accounts, and the retirement account;

5. *Further decides* that this information should include the total quantity of aggregated holdings in the clean development mechanism registry;

6. *Decides* that information on the review processes remaining to be completed should be provided by the secretariat together with the information referred to in paragraph 4 above, including information on which reviews are incomplete, which stage the incomplete review processes have reached, on what dates previous stages were completed and, to the extent possible, when outstanding stages are expected to be completed.

United Nations FCCC/SBI/2014/9

Framework Convention on Climate Change

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**Subsidiary Body for Implementation**
**Forty-first session**
**Lima, 1–8 December 2014**

Item 2(a) of the provisional agenda
**Organizational matters**
**Adoption of the agenda**

# Provisional agenda and annotations

**Note by the Executive Secretary**

## I. Provisional agenda

1. Opening of the session.
2. Organizational matters:
   - (a) Adoption of the agenda;
   - (b) Organization of the work of the session;
   - (c) Multilateral assessment working group session under the international assessment and review process;
   - (d) Election of officers other than the Chair.
3. Reporting from and review of Parties included in Annex I to the Convention:
   - (a) Status of submission and review of sixth national communications and first biennial reports from Parties included in Annex I to the Convention;
   - (b) Compilation and synthesis of sixth national communications and first biennial reports from Parties included in Annex I to the Convention;
   - (c) Compilation and synthesis of supplementary information incorporated in sixth national communications from Parties included in Annex I to the Convention that are also Parties to the Kyoto Protocol;
   - (d) Revision of the "Guidelines for the preparation of national communications by Parties included in Annex I to the Convention, Part II: UNFCCC reporting guidelines on national communications";
   - (e) Report on national greenhouse gas inventory data from Parties included in Annex I to the Convention for the period 1990–2012;

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(f) Annual compilation and accounting report for Annex B Parties under the Kyoto Protocol for 2014.

4. Reporting from Parties not included in Annex I to the Convention:

(a) Information contained in national communications from Parties not included in Annex I to the Convention;[1]

(b) Work of the Consultative Group of Experts on National Communications from Parties not included in Annex I to the Convention;

(c) Provision of financial and technical support.

5. Work programme to further the understanding of the diversity of nationally appropriate mitigation actions.

6. Matters relating to the mechanisms under the Kyoto Protocol:

(a) Review of the modalities and procedures for the clean development mechanism;

(b) Review of the joint implementation guidelines;

(c) Modalities for expediting the continued issuance, transfer and acquisition of joint implementation emission reduction units;

(d) Procedures, mechanisms and institutional arrangements for appeals against decisions of the Executive Board of the clean development mechanism;

(e) Report of the administrator of the international transaction log under the Kyoto Protocol.

7. Matters relating to the least developed countries.

8. Report of the Adaptation Committee.

9. National adaptation plans.

10. Warsaw International Mechanism for Loss and Damage associated with Climate Change Impacts.

11. Matters relating to finance:

(a) Second review of the Adaptation Fund;

(b) Further guidance to the Least Developed Countries Fund.

12. Development and transfer of technologies and implementation of the Technology Mechanism:

(a) Joint annual report of the Technology Executive Committee and the Climate Technology Centre and Network;

(b) Poznan strategic programme on technology transfer.

13. Capacity-building:

(a) Capacity-building under the Convention;

(b) Capacity-building under the Kyoto Protocol.

14. Impact of the implementation of response measures:

[1] At the fortieth session of the Subsidiary Body for Implementation (SBI) there was no consensus to include this item on the agenda. It was therefore held in abeyance. On a proposal by the Chair, the SBI decided to include this item on the provisional agenda for SBI 41.

(a) Forum and work programme;

(b) Matters relating to Article 3, paragraph 14, of the Kyoto Protocol;

(c) Progress on the implementation of decision 1/CP.10.

15. The 2013–2015 review.

16. Gender and climate change.

17. Arrangements for intergovernmental meetings.

18. Administrative, financial and institutional matters:

(a) Audited financial statements for the biennium 2012–2013;

(b) Budget performance for the biennium 2014–2015.

19. Reports on other activities:

(a) Report on the expert meeting on an information hub for information on the results of the activities referred to in decision 1/CP.16, paragraph 70, and results-based payments;

(b) Summary report on the 2nd Dialogue on Article 6 of the Convention.

20. Other matters.

21. Closure of and report on the session.

# II. Annotations to the provisional agenda

## 1. Opening of the session

1. The forty-first session of the Subsidiary Body for Implementation (SBI) will be opened by the Chair, Mr. Amena Yauvoli (Fiji), on Monday, 1 December 2014, at 3 p.m.

## 2. Organization matters

(a) Adoption of the agenda

2. The provisional agenda, prepared by the Executive Secretary in agreement with the Chair, will be presented for adoption.

(b) Organization of the work of the session

3. *Background*: SBI 41 will be held from 1 to 8 December 2014. Negotiating groups will meet until the afternoon of 5 December, after which the first part of the closing plenary meeting will be held to adopt conclusions on all substantive items. The SBI will convene its multilateral assessment working group session on 6 and 8 December, as outlined in paragraphs 6–8 below. The SBI will hold the final part of its closing plenary meeting immediately after the end of the multilateral assessment working group session, on 8 December.

4. Delegates are invited to consult the SBI 41 web page,[2] to refer to the overview schedule[3] and the in-session Daily Programme and to regularly consult the closed-circuit

[2] <www.unfccc.int/8500>.

[3] <http://unfccc.int/files/meetings/lima_dec_2014/application/pdf/cop20cmp10_overview_schedule.pdf>.

television screens for an up-to-date schedule of the work of the SBI, including in-session mandated events.[4] Items not concluded at SBI 41 will be forwarded for consideration at subsequent sessions, in accordance with the draft rules of procedure being applied. In order to maximize negotiation time and ensure timely closure, presiding officers may propose, in consultation with Parties, time-saving approaches to the organization and scheduling of meetings during the session, taking into account previous relevant SBI conclusions.[5]

5. *Action*: The SBI will be invited to agree on the organization of the work of the session.

(c) Multilateral assessment working group session under the international assessment and review process

6. *Background*: The multilateral assessment process is part of the international assessment and review (IAR) process established under the SBI for developed country Parties. The IAR process aims to promote the comparability of efforts among all developed countries with regard to their quantified economy-wide emission limitation and reduction targets. The modalities and procedures for this process were adopted at COP 17.[6]

7. The IAR process comprises a technical review of biennial reports (BRs) and a multilateral assessment of the developed country Parties' progress towards their quantified economy-wide emission reduction targets. The multilateral assessment entails:

(a) A question and answer process whereby any Party may submit written questions to the Parties being assessed, and those Parties endeavour to respond to the questions within two months;

(b) An assessment of the Parties concerned with the participation of all Parties during the multilateral assessment working group session. The Party being assessed may make a brief oral presentation, followed by questions to it from other Parties.

8. For the first round of the multilateral assessment, the working group session will be convened on 6 and 8 December 2014. Seventeen developed countries will be multilaterally assessed.[7] Further information on the organization of this session will be posted on the SBI 41 web page.[8]

9. *Action*: The SBI will be invited to take note of the information on the organization of the 1st multilateral assessment working group session.

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| *FCCC/SBI/2014/9* | *Provisional agenda and annotations. Note by the Executive Secretary* |
| *Further information* | *www.unfccc.int/8500 and www.unfccc.int/8451* |

(d) Election of officers other than the Chair

10. *Background*: The SBI will elect its Vice-Chair and Rapporteur. The current officers will remain in office until their successors are elected. Parties are invited to give active consideration to the nomination of women for elective posts.

[4] Such events include the 4th meeting of the structured expert dialogue on the 2013–2015 review. See paragraph 98 below.

[5] FCCC/SBI/2014/8, paragraphs 218–221.

[6] Annex II to decision 2/CP.17.

[7] See <www.unfccc.int/8451>.

[8] <www.unfccc.int/8500>.

11. When the SBI exercises its functions with regard to matters concerning the Kyoto Protocol, any member of its Bureau representing a State that is a Party to the Convention but, at that time, not a Party to the Kyoto Protocol shall be replaced by an additional member to be elected by and among the Parties to the Kyoto Protocol.

12. *Action*: The SBI will be invited to elect its officers at the earliest opportunity following the completion of consultations. If necessary, the SBI will be invited to elect additional officers to replace the Vice-Chair and/or Rapporteur representing a State that is a Party to the Convention but not to the Kyoto Protocol.

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| *Further information* | *www.unfccc.int/6558* |

## 3. Reporting from and review of Parties included in Annex I to the Convention

(a) Status of submission and review of sixth national communications and first biennial reports from Parties included in Annex I to the Convention

13. *Background*: COP 16 decided that Parties included in Annex I to the Convention (Annex I Parties) should enhance the reporting in national communications (NCs) and submit BRs which outline progress in achieving emission reductions and the provision of financial, technology and capacity-building support to Parties not included in Annex I to the Convention (non-Annex I Parties), building on existing reporting and review guidelines, processes and experiences.[9]

14. Developed country Parties were requested to submit, by 1 January 2014, a sixth NC (NC6) and a first BR (BR1).[10] As at 12 September 2014, the secretariat had received 44 NC6s, 42 BR1s and 43 BR1 common tabular format submissions and has coordinated reviews of NC6s and BR1s of 30 Parties.

15. *Action*: The SBI will be invited to take note of the status of submission and review of NC6s and BR1s.

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| *FCCC/SBI/2014/INF.19* | *Status of submission and review of sixth national communications and first biennial reports. Note by the secretariat* |
| *Further information* | *www.unfccc.int/7742* and *www.unfccc.int/7550* |

(b) Compilation and synthesis of sixth national communications and first biennial reports from Parties included in Annex I to the Convention

16. *Background*: The secretariat will prepare a compilation and synthesis report on the information reported by Annex I Parties in their NC6s and BR1s for consideration at COP 20.[11,12]

17. *Action*: The SBI will be invited to consider the compilation and synthesis report on the NC6s and BR1s and recommend a draft decision on this matter, as appropriate, for consideration and adoption at COP 20.

[9] Decision 1/CP.16, paragraph 40.
[10] Decisions 9/CP.16 and 2/CP.17, paragraph 13.
[11] Decision 2/CP.17, paragraph 21.
[12] Decision 22/CP.19, paragraph 2.

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| *FCCC/SBI/2014/INF.20* | *Compilation and synthesis of sixth national communications and first biennial reports from Parties included in Annex I to the Convention. Executive summary. Note by the secretariat* |
| *FCCC/SBI/2014/INF.20/Add.1* | *Compilation and synthesis of sixth national communications and first biennial reports from Parties included in Annex I to the Convention. Note by the secretariat. Addendum. Policies and measures, past and projected greenhouse gas emission trends, quantified economy-wide emission reduction target and progress towards the target, and provision of financial, technological and capacity-building support to developing country Parties* |
| *FCCC/SBI/2014/INF.20/Add.2* | *Compilation and synthesis of sixth national communications and first biennial reports from Parties included in Annex I to the Convention. Note by the secretariat. Addendum. Vulnerability, impacts and adaptation, research and systematic observation, and education, training and public awareness* |
| *Further information* | *www.unfccc.int/3076 and www.unfccc.int/2736* |

(c) Compilation and synthesis of supplementary information incorporated in sixth national communications from Parties included in Annex I to the Convention that are also Parties to the Kyoto Protocol

18. *Background.* The secretariat will prepare a compilation and synthesis report on the supplementary information incorporated in the NC6s for consideration by the Conference of the Parties serving as a meeting of the Parties to the Kyoto Protocol (CMP) at its tenth session.[7]

19. *Action.* The SBI will be invited to consider the compilation and synthesis of supplementary information incorporated in the NC6s and recommend a draft decision on this matter, as appropriate, for consideration and adoption at CMP 10.

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| *FCCC/SBI/2014/INF.21* | *Compilation and synthesis of supplementary information incorporated in sixth national communications from Parties included in Annex I to the Convention that are also Parties to the Kyoto Protocol. Note by the secretariat* |
| *Further information* | *www.unfccc.int/3076 and www.unfccc.int/2736* |

[7] Decision 9/CMP.9.

(d) Revision of the "Guidelines for the preparation of national communications by Parties included in Annex I to the Convention, Part II: UNFCCC reporting guidelines on national communications"

20. *Background*: SBI 40 initiated its consideration of the revision of the "Guidelines for the preparation of national communications by Parties included in Annex I to the Convention, Part II: UNFCCC reporting guidelines on national communications" (hereinafter referred to as UNFCCC reporting guidelines on NCs).[14] To enable the SBI to complete this revision, SBI 40 invited more submissions from Annex I Parties on their experience with preparing their BR1s.[15,16] Parties were also invited to submit their views on the revision of the UNFCCC reporting guidelines on NCs.[17,18]

21. The secretariat will prepare a technical paper[19] as an input to discussions by Parties at SBI 41 on the revision of the UNFCCC reporting guidelines on NCs.

22. *Action*: The SBI will consider the technical paper and recommend revised guidelines for consideration and adoption at COP 20.

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| *FCCC/TP/2014/5* | *Revision of UNFCCC reporting guidelines on national communications from Parties included in Annex I to the Convention. Technical paper* |
| *Further information* | <*www.unfccc.int/1095*> *and* <*www.unfccc.int/2707*> |

(e) Report on national greenhouse gas inventory data from Parties included in Annex I to the Convention for the period 1990–2012

23. *Background*: The secretariat prepares an annual report containing the latest information on greenhouse gas (GHG) inventory data submitted by Annex I Parties for consideration by the COP and its subsidiary bodies.[20] This year's report covers the period 1990–2012.

24. *Action*: The SBI will be invited to take note of the information contained in the report.

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| *FCCC/SBI/2014/20* | *National greenhouse gas inventory data for the period 1990–2012. Note by the secretariat* |
| *Further information* | <*www.unfccc.int/4146*> |

(f) Annual compilation and accounting report for Annex B Parties under the Kyoto Protocol for 2014

25. *Background*: The secretariat publishes annual compilation and accounting reports[21] to be forwarded to the CMP, the Compliance Committee and each Party concerned.

[14] Decision 2/CP.17, paragraph 18.
[15] Decision 2/CP.17, paragraph 17.
[16] FCCC/SBI/2014/8, paragraph 14.
[17] FCCC/SBI/2014/8, paragraph 16.
[18] As soon as submissions are received, they are made available on the submission portal at <www.unfccc.int/5900>.
[19] Decision 2/CP.17, paragraph 20.
[20] Decision 19/CP.8.
[21] Decision 13/CMP.1.

26. *Action*: The SBI will be invited to consider the information contained in the 2014 report and to recommend conclusions for consideration and adoption at CMP 10.

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| *FCCC/KP/CMP/2014/7* | *Annual compilation and accounting report for Annex B Parties under the Kyoto Protocol for 2014. Note by the secretariat* |
| *FCCC/KP/CMP/2014/7/Add.1* | *Annual compilation and accounting report for Annex B Parties under the Kyoto Protocol for 2014. Note by the secretariat. Addendum. Compilation and accounting information by Party* |
| *Further information* | *http://unfccc.int/di/FlexibleCADQueries.do* |

## 4. Reporting from Parties not included in Annex I to the Convention

### (a) Information contained in national communications from Parties not included in Annex I to the Convention

27. *Background*: At SBI 24, some Parties proposed that, in accordance with Article 10, paragraph 2, of the Convention, the SBI consider the information communicated by non-Annex I Parties in all of their NCs.[23]

28. *Action*: The SBI will be invited to provide guidance on how to further develop the process for considering the information contained in NCs from non-Annex I Parties, taking into consideration the parts of decision 2/CP.17 on biennial update reports (BURs) and international consultation and analysis.

### (b) Work of the Consultative Group of Experts on National Communications from Parties not included in Annex I to the Convention

29. *Background*: COP 19 decided to continue the Consultative Group of Experts on National Communications from Parties not included in Annex I to the Convention (CGE) for a period of five years, from 2014 to 2018.[24] It agreed on revised terms of reference for the group.[25] The CGE will submit a progress report on its work for consideration at SBI 41.[26]

30. *Action*: The SBI will be invited to consider the progress reports contained in the documents prepared for the session and provide guidance, as appropriate, to the CGE.

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| *FCCC/SBI/2014/17* | *Progress report on the work of the Consultative Group of Experts on National Communications from Parties not included in Annex I to the Convention. Note by the secretariat* |
| *FCCC/SBI/2014/18* | *Progress report on the work of the Consultative Group of Experts on National Communications from Parties not included in Annex I to the Convention: report on the regional training workshops on the preparation of biennial update reports from Parties not included in Annex I to the Convention. Note by the secretariat* |

[23] FCCC/SBI/2006/11, paragraph 32.
[24] Decision 19/CP.19, paragraph 1.
[25] See annex to decision 19/CP.19 and document FCCC/CP/2013/10, paragraph 131.
[26] Decision 19/CP.19, paragraph 7.

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| *FCCC/SBI/2014/19* | *Progress report on the work of the Consultative Group of Experts on National Communications from Parties not included in Annex I to the Convention: report on the workshop on peer review of the materials for the training of the team of technical experts. Note by the secretariat* |
| *FCCC/SBI/2014/INF.15* | *Progress report on the work of the Consultative Group of Experts on National Communications from Parties not included in Annex I to the Convention: long-term strategy of the Consultative Group of Experts on National Communications from Parties not included in Annex I to the Convention. Note by the secretariat* |
| *FCCC/SBI/2014/INF.16* | *Progress report on the work of the Consultative Group of Experts on National Communications from Parties not included in Annex I to the Convention: technical report on problems and constraints, as well as lessons learned and best practices, in the process of and the preparation of national communications and biennial update reports by Parties not included in Annex I to the Convention. Note by the secretariat* |
| *Further information* | *www.unfccc.int/2608* |

(c) Provision of financial and technical support

31. *Background:* The Global Environment Facility (GEF), as an operating entity of the financial mechanism of the Convention, provides financial support for the preparation of NCs and BURs from non-Annex I Parties.

32. The GEF will provide information on its activities relating to the preparation of NCs and BURs by non-Annex I Parties.[26, 27] The GEF will also provide, in its report to COP 20, information on the funding available to non-Annex I Parties under its latest replenishment for their preparation of NCs and BURs, and the total amount of funding available in its climate change focal area.[28]

33. The secretariat will present a report on the regional hands-on training workshops held in 2013–2014 on the use of the national GHG inventory software for non-Annex I Parties.[29]

34. *Action:* The SBI will be invited to consider the information contained in the documents prepared for the session and to make recommendations, as appropriate, to the GEF.

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| *FCCC/SBI/2014/INF.12* | *Report on the regional hands-on training workshops on the use of the non-Annex I greenhouse gas inventory software. Note by the secretariat* |
| *FCCC/SBI/2014/INF.22* | *Information provided by the Global Environment Facility on its activities relating to the preparation of national communications and biennial update reports. Note by the secretariat* |

[26] FCCC/SBI/2013/20, paragraph 33.
[27] FCCC/SBI/2014/8, paragraph 26.
[28] FCCC/SBI/2014/8, paragraph 28.
[29] FCCC/SBI/2014/8, paragraph 33.

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| *FCCC/CP/2014/2* | *Report of the Global Environment Facility to the Conference of the Parties. Note by the secretariat* |
| *Further information* | *www.unfccc.int/6921* |

## 5. Work programme to further the understanding of the diversity of nationally appropriate mitigation actions

35. *Background:* COP 18 established a work programme under the SBI, for 2013–2014, to further the understanding of the diversity of nationally appropriate mitigation actions (NAMAs).[27] It requested the SBI to report on the outcome to COP 20.[28]

36. The secretariat will prepare an update to document FCCC/SBI/2014/INF.10 as an input to an exchange of views by Parties on updated information on NAMAs and support for them in the NAMA registry, including the extent of matching of NAMAs with support.[29]

37. *Action:* The work programme will be concluded at SBI 41. The SBI will be invited to prepare conclusions on the process of furthering the understanding of the diversity of NAMAs, in accordance with SBI 40 conclusions on this matter, and to report to COP 20 on the outcomes of this process.[30]

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| *FCCC/SBI/2014/INF.11* | *Report on the second workshop to further the understanding of the diversity of nationally appropriate mitigation actions. Note by the secretariat* |
| *FCCC/SBI/2014/INF.24* | *The extent of the matching of nationally appropriate mitigation actions with financial, technical and capacity-building support in the registry of nationally appropriate mitigation actions. Note by the secretariat* |
| *Further information* | *www.unfccc.int/7728* |

## 6. Matters relating to the mechanisms under the Kyoto Protocol

### (a) Review of the modalities and procedures for the clean development mechanism

38. *Background:* CMP 1 adopted the modalities and procedures for the clean development mechanism (CDM). SBI 39 initiated its consideration of possible changes to the CDM modalities and procedures[31] and agreed to continue it at SBI 40 on the basis of a consolidated but non-exhaustive list[32] of suggested changes it had identified.[33]

[27] Decision 1/CP.18, paragraph 19.
[28] Decision 1/CP.18, paragraph 21.
[29] FCCC/SBI/2014/8, paragraph 42.
[30] FCCC/SBI/2014/8, paragraph 43.
[31] Decision 5/CMP.8.
[32] Contained in a note prepared by the co-chairs of this agenda item and available at <http://unfccc.int/7871.php> under agenda item 7(a).
[33] FCCC/SBI/2013/20, paragraph 66.

39. Consultations at SBI 40 did not result in any conclusions. In accordance with rule 16 of the draft rules of procedure being applied, this matter is included on the provisional agenda for SBI 41. The co-chairs of this agenda item published, at their own responsibility, a revised consolidated list of possible changes to the CDM modalities and procedures reflecting the considerations at SBI 40, while recognizing that the list requires further consideration by Parties before they can agree on changes to be reflected in the revised CDM modalities and procedures.[37]

40. *Action*: The SBI will be invited to conclude its work on this matter and to prepare a draft decision for consideration and adoption at CMP 10.

| *Further information* | <www.unfccc.int/1673> |
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(b) Review of the joint implementation guidelines

41. *Background*: CMP 1 adopted the guidelines for the implementation of Article 6 of the Kyoto Protocol (joint implementation (JI)).[38] SBI 39 initiated the review of these guidelines[39] and agreed to continue it at SBI 40.[40]

42. SBI 40 agreed to continue its consideration of this matter at SBI 41 on the basis of the draft decision text proposed by the co-facilitators of the informal consultations on this agenda item and contained in the annex to document FCCC/SBI/2014/L.11.

43. *Action*: The SBI will be invited to conclude its review of the JI guidelines and prepare a draft decision for consideration and adoption at CMP 10.

| *Further information* | <www.unfccc.int/1673> |
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(c) Modalities for expediting the continued issuance, transfer and acquisition of joint implementation emission reduction units

44. *Background*: Under the current guidance,[41] an Annex I Party with commitments inscribed in Annex B to the Kyoto Protocol may issue, transfer and acquire emission reduction units (ERUs) under Article 6 of the Kyoto Protocol only after its assigned amount has been calculated and recorded, and its assigned amount units and removal units have been issued. SBI 39 initiated its consideration of the modalities for expediting the continued issuance, transfer and acquisition of ERUs under Article 6 of the Kyoto Protocol for the second commitment period.[42]

45. SBI 40 continued its consideration of this matter and agreed to continue its work at SBI 41 on the basis of the draft decision text proposed by the co-facilitators of the informal consultations on this agenda item and contained in the annex to document FCCC/SBI/2014/L.9.[43] To further inform this consideration at SBI 41, the secretariat will prepare a technical paper on any technical implications for the processes and systems under the Kyoto Protocol.[44]

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[37] <www.unfccc.int/1673>
[38] Decision 9/CMP.1
[39] Decision 6/CMP.8
[40] FCCC/SBI/2013/20, paragraph 72
[41] Decision 9/CMP.1, annex
[42] Decision 1/CMP.8, paragraph 16
[43] FCCC/SBI/2014/8, paragraph 61
[44] FCCC/SBI/2014/8, paragraph 62

46. *Action*: The SBI will be invited to conclude its consideration of this matter and prepare a draft decision for consideration and adoption at CMP 10.

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| *FCCC/TP/2014/4* | *Technical paper on any implications for the processes and systems under the Kyoto Protocol* |
| *Further information* | *www.unfccc.int/1673* |

(d) Procedures, mechanisms and institutional arrangements for appeals against decisions of the Executive Board of the clean development mechanism

47. *Background*: CMP 6 requested[45] the SBI to make recommendations for consideration and adoption at CMP 7 on procedures, mechanisms and institutional arrangements under the CMP to allow for appeals against decisions of the CDM Executive Board, taking into account the recommendations of the Executive Board contained in annex II to its annual report. The SBI has been considering this item since SBI 34 without reaching an agreement on this matter.

48. SBI 40 agreed to continue its consideration of this matter on the basis of, inter alia, the co-facilitators' draft text contained in document FCCC/SBI/2012/33/Add.1.[46]

49. *Action*: The SBI will be invited to conclude its consideration and prepare a draft decision for consideration and adoption at CMP 10.

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| *Further information* | *http://cdm.unfccc.int* |

(e) Report of the administrator of the international transaction log under the Kyoto Protocol

50. *Background*: CMP 1 requested the SBI to consider annual reports of the international transaction log (ITL) administrator, with a view to requesting the CMP to provide guidance in relation to the operation of registry systems.[47]

51. *Action*: The SBI will be invited to take note of the 2014 report of the ITL administrator.

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| *FCCC/SBI/2014/INF.18* | *Annual report of the administrator of the international transaction log under the Kyoto Protocol. Note by the secretariat* |
| *Further information* | *www.unfccc.int/4065* |

## 7. Matters relating to the least developed countries

52. *Background*: SBI 40 welcomed the work programme of the Least Developed Countries Expert Group (LEG) for 2014–2015.[48] The 26th meeting of the LEG took place in Bonn, Germany, from 4 to 7 August 2014. The LEG will launch regional training workshops on national adaptation plans (NAPs) for the least developed countries, starting with the Pacific region in November 2014, as part of its work programme.

[45] Decision 3/CMP.6, paragraph 18.
[46] FCCC/SBI/2014/8, paragraph 67.
[47] Decision 12/CMP.1, paragraph 11.
[48] FCCC/SBI/2014/8, paragraph 84.

53. *Action*: The SBI will be invited to review progress on the work of the LEG and provide further guidance, as appropriate.

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| *FCCC/SBI/2014/13* | *Report on the 26th meeting of the Least Developed Countries Expert Group. Note by the secretariat* |
| *Further information* | <www.unfccc.int/7504>, <www.unfccc.int/7568> and <www.unfccc.int/8425> |

## 8. Report of the Adaptation Committee

54. *Background*: COP 19 encouraged the Adaptation Committee to continue its work on providing technical support and guidance to Parties, in particular in the area of NAPs, and to seek further coherence and synergy with other relevant bodies and programmes under the Convention in implementing its workplan.[49]

55. SBI 40 and SBSTA 40 invited the Adaptation Committee to undertake a number of activities in collaboration with other related processes under the Convention (i.e. the LEG, NAPs and the Nairobi work programme on impacts, vulnerability and adaptation to climate change). Information on the progress made on these activities and related recommendations are contained in the report of the Adaptation Committee.[50]

56. *Action*: The SBI and the SBSTA will be invited to consider the report of the Adaptation Committee and recommend draft conclusions or a draft decision for consideration and adoption at COP 20.

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| *FCCC/SB/2014/2* | *Report of the Adaptation Committee* |
| *Further information* | <www.unfccc.int/6053> |

## 9. National adaptation plans

57. *Background*: SBI 40 considered information from Parties and relevant organizations on their experiences with the application of the initial guidelines for the formulation of NAPs, as well as any other information relevant to the formulation and implementation of NAPs.[51] SBI decided to continue its discussion at SBI 41 on the basis of the information paper on experiences, good practices, lessons learned, gaps and needs in the process to formulate and implement NAPs,[52] submissions from Parties and relevant organizations,[53] and the notes contained in the annex to document FCCC/SBI/2014/L.19.

58. The LEG and the Adaptation Committee will report on their work in support to the NAP process.[54] The secretariat will prepare an information paper on the NAP process.[55]

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[49] Decision 16/CP.19, paragraph 3.

[50] FCCC/SB/2014/2.

[51] FCCC/SBI/2013/9, FCCC/SBI/2014/MISC.1 and FCCC/SBI/2013/MISC.2 and Add.1. Further relevant submissions are available at <www.unfccc.int/5900> under SBI 40 and the heading "National adaptation plans", <www.unfccc.int/8016> under the heading "Guidelines for the formulation of national adaptation plans" and <www.unfccc.int/7481> under the heading "National adaptation plans".

[52] FCCC/SBI/2014/8, paragraph 107.

[53] FCCC/SBI/2014/8, paragraphs 93, 103 and 104.

[54] FCCC/SBI/2014/8, paragraphs 102 and 106–108.

[55] FCCC/SBI/2012/33, paragraph 89.

59. *Action*: The SBI will be invited to continue its consideration of the matters referred to in paragraph 57 above and to consider the matters referred to in paragraph 58 above and recommend a draft decision for consideration and adoption at COP 20.

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| *FCCC/SBI/2014/13* | *Report on the 26th meeting of the Least Developed Countries Expert Group. Note by the secretariat* |
| *FCCC/SBI/2014/INF.14* | *Information paper on experiences, good practices, lessons learned, gaps and needs in the process to formulate and implement national adaptation plans* |
| *FCCC/SBI/2014/INF.15* | *Information paper on the national adaptation plan process. Note by the secretariat* |
| *FCCC/SB/2014/2* | *Report of the Adaptation Committee* |
| *FCCC/CP/2014/2* | *Report of the Global Environment Facility to the Conference of the Parties. Note by the secretariat* |
| *Further information* | *<www.unfccc.int/7500> and <www.unfccc.int/7279>* |

## 10. Warsaw International Mechanism for Loss and Damage associated with Climate Change Impacts

60. *Background*: COP 19 established the Warsaw International Mechanism for Loss and Damage associated with Climate Change Impacts.[56] It also established an Executive Committee to guide the implementation of the functions of the Warsaw International Mechanism,[57] and requested the Committee:

(a) To report annually to the COP through the SBI and the SBSTA and make recommendations;[58]

(b) To develop its initial two-year workplan for the implementation of the functions outlined in decision 2/CP.19, paragraph 5, for consideration at SBI 41 and SBSTA 41.[59]

61. SBI 40 and SBSTA 40 initiated their consideration of the composition of, and procedures for, the Executive Committee, and concluded that they would continue their consideration of this matter at SBI 41 and SBSTA 41, taking into account the elements reflected in the draft decision contained in the annex to document FCCC/SB/2014/L.4.[60]

62. *Action*: The SBI and the SBSTA will be invited to consider the initial two-year workplan and the composition of, and procedures for, the Executive Committee and recommend a draft decision for consideration and adoption at COP 20 with a view to the COP finalizing the modalities for the organization and governance of the Executive Committee.

[56] Decision 2/CP.19, paragraph 1.
[57] Decision 2/CP.19, paragraph 2.
[58] Decision 2/CP.19, paragraph 3.
[59] Decision 2/CP.19, paragraph 9. The Executive Committee held its initial meeting from 25 to 28 March 2014 and the resumed initial meeting from 17 to 18 September 2014, both in Bonn. See <www.unfccc.int/8107> and <www.unfccc.int/8464>.
[60] FCCC/SBI/2014/8, paragraphs 114 and 115.

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| *FCCC/SB/2014/4* | *Report of the Executive Committee of the Warsaw International Mechanism for Loss and Damage associated with Climate Change Impacts* |
| *Further information* | *<www.unfccc.int/7545> and <www.unfccc.int/6056>* |

## 11. Matters relating to finance

(a) Second review of the Adaptation Fund

63. *Background*: SBI 40 considered the second review of the Adaptation Fund.[61] Parties, observer organizations and other interested international organizations, stakeholders and non-governmental organizations involved in the activities of the Adaptation Fund, as well as multinational, regional and national implementing entities accredited by the Adaptation Fund Board, were invited to submit further views on the second review of the Adaptation Fund.[62, 63]

64. The secretariat will prepare, in collaboration with the Adaptation Fund Board secretariat, a technical paper on the second review of the Adaptation Fund that will take into account the views expressed by Parties at SBI 40 and the written submissions provided before and at SBI 40.[64]

65. *Action*: The SBI will be invited to complete its consideration of the second review of the Adaptation Fund and recommend a draft decision on this matter for consideration and adoption at CMP 10.

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| *FCCC/TP/2014/7* | *Technical paper on the second review of the Adaptation Fund* |
| *FCCC/SBI/2014/MISC.4* | *Views on the second review of the Adaptation Fund: Submissions from Parties* |
| *Further information* | *<www.unfccc.int/3659>* |

(b) Further guidance to the Least Developed Countries Fund

66. *Background*: The Least Developed Countries Fund (LDCF) was established to support the LDC work programme and address the special needs of the LDCs under the Convention.

67. The COP, by decision 10/CP.18, provided further guidance to the GEF as an operating entity of the financial mechanism of the Convention entrusted with the operation of the LDCF, and requested the GEF to include, in its annual report to the COP, information on specific actions it has undertaken to implement decision 10/CP.18.[65]

68. Parties and relevant organizations were invited to submit information on their experiences with the implementation of the remaining elements of the LDC work

[61] Decision 2/CMP.9, annex.
[62] FCCC/SBI/2014/8, paragraph 125.
[63] As soon as submissions are received, they are made available on the submission portal at <www.unfccc.int/5900>.
[64] FCCC/SBI/2014/8, paragraph 127.
[65] Decision 10/CP.18, paragraph 6.

programme,[56] taking into consideration the options contained in the report on the 21st meeting of the LEG.[57]

69. The secretariat will prepare a synthesis report on the progress made in the implementation of the remaining elements of the LDC work programme, taking into account the submissions referred to in paragraph 68 above and other sources of information detailed in decision 10/CP.18, paragraph 9.

70. *Action*: The SBI will be invited to consider the progress made in the implementation of the remaining elements of the LDC work programme, including the updating and implementation of national adaptation programmes of action, with a view to COP 20 determining appropriate further guidance to be provided to the LDCF.

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| *FCCC/SBI/2014/INF.17* | *Synthesis report on the progress made in the implementation of the remaining elements of the least developed countries work programme. Note by the secretariat* |
| *FCCC/SBI/2014/MISC.3* | *Information on experiences with the implementation of the remaining elements of the least developed countries work programme. Submissions by Parties and relevant organizations* |
| *FCCC/CP/2014/2* | *Report of the Global Environment Facility to the Conference of the Parties. Note by the secretariat* |
| *Further information* | *www.unfccc.int/4723* |

## 12. Development and transfer of technologies and implementation of the Technology Mechanism

(a) Joint annual report of the Technology Executive Committee and the Climate Technology Centre and Network

71. *Background*: COP 16 decided that the Technology Executive Committee (TEC) and the Climate Technology Centre and Network (CTCN) shall report to the COP, through the SBI and the SBSTA, on their respective activities and the performance of their respective functions.[58]

72. *Action*: The SBI and the SBSTA will be invited to consider the joint annual report and recommend a draft decision for consideration and adoption at COP 20.

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| *FCCC/SB/2014/3* | *Joint annual report of the Technology Executive Committee and the Climate Technology Centre and Network for 2014* |
| *Further information* | *ttclear.unfccc.int* |

[56] Decision 10/CP.18, paragraph 8.
[57] FCCC/SBI/2012/7.
[58] Decision 1/CP.16, paragraph 126.

(b) Poznan strategic programme on technology transfer

73. *Background*: The GEF has been providing reports on the progress made in carrying out its activities under the Poznan strategic programme on technology transfer, for consideration at SBI sessions, for the duration of the programme.[69]

74. The GEF will continue to consult with the Advisory Board of the CTCN on the support that the GEF will provide for the implementation of the five-year programme of work of the CTCN and will report on its findings.[70]

75. The CTCN will include information on the support that it has received from the GEF and other relevant organizations in the 2014 joint annual report of the TEC and the CTCN.[71]

76. SBI 40 reiterated the need for the GEF to align the further implementation of the element of the Poznan strategic programme on support for climate technology centres and a climate technology network with the operationalization and activities of the CTCN, and to consult with the Advisory Board of the CTCN on this matter and report on its findings for consideration at SBI 41.[72]

77. The TEC will evaluate the Poznan strategic programme with the aim of enhancing the effectiveness of the Technology Mechanism and will report back to COP 20 through SBI 41.[73]

78. *Action*: The SBI will be invited to consider the relevant information in the report of the GEF and in the joint annual report of the TEC and the CTCN with a view to determining further action.

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| *FCCC/CP/2014/2 and Add.1* | *Report of the Global Environment Facility to the Conference of the Parties. Note by the secretariat* |
| *FCCC/SB/2014/3* | *Joint annual report of the Technology Executive Committee and the Climate Technology Centre and Network for 2014* |
| *Further information* | *http://www.thegef.org/gef/IT_poznan_strategic_program* |

## 13. Capacity-building

(a) Capacity-building under the Convention

79. *Background*: The COP invited Parties to submit information annually on the activities they have undertaken pursuant to decisions 2/CP.7 and 2/CP.10.[74] The secretariat has been providing annual synthesis reports on activities to implement the framework for capacity-building in developing countries[75] and summary reports of meetings of the Durban Forum on capacity-building.[76] The 3rd meeting of the Durban Forum was held during SBI 40.

[69] FCCC/SBI/2011/7, paragraph 137.
[70] FCCC/SBI/2014/8, paragraph 139.
[71] FCCC/SBI/2014/8, paragraph 140.
[72] FCCC/SBI/2014/8, paragraph 141.
[73] FCCC/SBI/2014/8, paragraph 142.
[74] Decision 4/CP.12, paragraph 1(a).
[75] Decisions 2/CP.7, paragraph 9(c), 4/CP.12, paragraph 1(c), and 1/CP.18, paragraph 78.
[76] Decision 2/CP.17, paragraph 147.

80. The SBI has been considering this item since SBI 37. SBI 40 agreed to continue its consideration at SBI 41 on the basis of the draft decision text contained in the annex to document FCCC/SBI/2014/L.13 and documents referred to in paragraph 79 above.[77]

81. *Action*: The SBI will be invited to conclude its consideration of this matter and to recommend a draft decision, including on potential ways to further enhance the implementation of capacity-building at the national level, for consideration and adoption at COP 20.

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| *FCCC/SBI/2014/14* | *Summary report on the 3rd meeting of the Durban Forum. Note by the secretariat* |
| *Further information* | *www.unfccc.int/1033* and *www.unfccc.int/7060* |

(b) Capacity-building under the Kyoto Protocol

82. *Background*: The CMP invited Parties, relevant multilateral and bilateral agencies and the private sector to submit information annually on activities undertaken to implement decision 29/CMP.1.[78] The secretariat has been providing annual synthesis reports based on the information referred to above and information on the activities of the CDM Executive Board relating to the regional distribution of CDM project activities and related capacity-building[79] and summary reports on meetings of the Durban Forum.[80] The 3rd meeting of the Durban Forum was held during SBI 40.

83. The SBI initiated its consideration of capacity-building for developing countries under the Kyoto Protocol at SBI 39, continued it at SBI 40 and agreed to further continue its consideration at SBI 41 on the basis of a draft decision contained in the annex to document FCCC/SBI/2013/L.18/Rev.1 and documents referred to in paragraph 82 above.[81]

84. *Action*: The SBI will be invited to conclude its consideration of this matter and to recommend a draft decision for consideration and adoption at CMP 10.

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| *FCCC/SBI/2014/14* | *Summary report on the 3rd meeting of the Durban Forum. Note by the secretariat* |
| *Further information* | *www.unfccc.int/1033* and *www.unfccc.int/7060* |

## 14. Impact of the implementation of response measures

(a) Forum and work programme

85. *Background*: COP 17 launched a work programme on the impact of the implementation of response measures under the subsidiary bodies.[82] It established a forum to implement the work programme and to provide a platform allowing Parties to share information, experiences, case studies, best practices and views.[83]

[77] Including documents FCCC/SBI/2014/2 and Add.1, and FCCC/SBI/2014/MISC.2 and Add.1 and 2.
[78] Decision 6/CMP.2, paragraph 1(a) and (b).
[79] Decision 6/CMP.2, paragraph 1(c).
[80] Decision 2/CP.17, paragraph 147.
[81] Including documents FCCC/SBI/2014/2 and Add.1, and FCCC/SBI/2014/MISC.2 and Add.1 and 2.
[82] Decision 8/CP.17, paragraph 1.
[83] Decision 8/CP.17, paragraph 3.

86. SBI 39 and SBSTA 39 initiated the review of the work of the forum[84] by considering all presentations, statements made by Parties, organizations and experts, and reports[85] on the meetings of the forum. SBI 40 and SBSTA 40 welcomed the report[86] on the in-forum workshop on area (b)[87] of the work programme and noted that the compilation of the submissions[88] received from Parties on the review of the work of the forum concluded the review.[89]

87. SBI 40 and SBSTA 40 also took note of the submissions made by Parties of proposals regarding a draft decision to take the work forward[90] and agreed to forward them for consideration to SBI 41 and SBSTA 41, so that the latter may provide recommendations for consideration at COP 20.

88. The SBI and the SBSTA invited Parties, experts, practitioners and relevant organizations to submit their views on options to strengthen opportunities for cooperation and collaboration among Parties related to this agenda sub-item.[91] The secretariat will prepare a technical paper on areas of convergence related to areas of cooperation, as well as a synthesis paper, both based on the reports on the work of the forum, the submissions, presentations and statements made and the review of the work of the forum, for consideration at SBI 41, and SBSTA 41, without prejudice to the consideration by the COP referred to in paragraph 87 above.[92]

89. *Action*: The SBI and the SBSTA will be invited to consider how to take this item forward with a view to providing recommendations for consideration and adoption at COP 20.

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| *FCCC/SB/2014/INF.4* | *Synthesis paper on the work of the forum on the impact of the implementation of response measures. Note by the secretariat* |
| *FCCC/TP/2014/12* | *Areas of convergence related to areas of cooperation. Technical paper* |
| *Further information* | *<www.unfccc.int/4908>* |

(b) Matters relating to Article 3, paragraph 14, of the Kyoto Protocol

90. *Background*: SBI 40 agreed to consider this matter jointly with the SBI and SBSTA agenda sub-item "Forum and work programme" in a joint SBI/SBSTA forum. SBI 40 also agreed to continue consultations at SBI 41 on how to take up this matter.[93]

91. *Action*: The SBI will be invited to agree on how to take up this matter.

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[84] FCCC/SBI/2012/33, paragraph 106.
[85] Reports are contained in documents FCCC/SB/2013/INF.2, FCCC/SB/2013/INF.3, FCCC/SB/2013/INF.4, FCCC/SB/2013/INF.8, FCCC/SB/2013/INF.9, FCCC/SB/2013/INF.10 and FCCC/SB/2013/INF.11.
[86] FCCC/SB/2014/INF.1.
[87] Cooperation on response strategies.
[88] The views on the review are compiled in annex I to document FCCC/SB/2014/L.2.
[89] FCCC/SBI/2014/8, paragraph 178.
[90] The submissions are contained in annex II to document FCCC/SB/2014/L.2.
[91] As soon as submissions are received, they are made available on the submission portal at <www.unfccc.int/5900>.
[92] FCCC/SBI/2014/8, paragraph 180.
[93] FCCC/SBI/2014/8, paragraph 184.

(c) Progress on the implementation of decision 1/CP.10

92. *Background.* SBI 40 agreed to consider this matter jointly with the SBI and SBSTA agenda sub-item "Forum and work programme" in a joint SBI/SBSTA forum. SBI 40 agreed to continue consultations at SBI 41 on how to take up this matter.[74]

93. *Action.* The SBI will be invited to agree on how to take up this matter.

## 15. The 2013–2015 review

94. *Background.* The COP decided to periodically review the adequacy of the long-term global goal and overall progress made towards achieving it,[75] with the assistance of the SBSTA and the SBI,[76] supported by the structured expert dialogue (SED).[77]

95. The COP requested the SBSTA and the SBI to report to it on their considerations and findings and decided to address those considerations and provide further guidance.[78] It also requested the co-facilitators of the SED to report to COP 20, through the subsidiary bodies, on the work conducted under the dialogue.[79]

96. Parties will submit their views on additional inputs to the SED, on how to conclude the 2013–2015 review and on the final reporting of these subsidiary bodies to the COP, and the secretariat will make those submissions available on the UNFCCC website.[80]

97. The secretariat will prepare a note[81] containing an indicative, descriptive identification of what information, as listed in decision 2/CP.17, paragraph 161(b), will be available for consideration by the SED and by when.[82]

98. The co-facilitators of the SED will organize the 4th meeting of the SED in conjunction with SBI 41 and SBSTA 41 in order to continue to assess the adequacy of the long-term global goal and the progress made towards achieving it on the basis of the Synthesis Report of the Fifth Assessment Report of the Intergovernmental Panel on Climate Change and of information from the sources referred to in decision 2/CP.17, paragraph 161(b–d).[83]

99. *Action.* The SBSTA and the SBI will be invited to consider this matter and to take further steps, including providing further guidance to the SED and concluding the review and final reporting to the COP.

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| *FCCC/SB/2014/1* | *Report on the structured expert dialogue on the 2013–2015 review for 2014* |
| *FCCC/SB/2014/INF.3* | *National information available for consideration by the structured expert dialogue: Note by the secretariat* |
| *Further information* | *<www.unfccc.int/6998> and <www.unfccc.int/7521>* |

[74] FCCC/SBI/2014/8, paragraph 180.
[75] Decision 1/CP.16, paragraph 138, and decision 1/CP.18, paragraph 79.
[76] Decision 2/CP.17, paragraph 162.
[77] Decision 1/CP.18, paragraphs 85 and 86.
[78] Decision 2/CP.17, paragraph 166.
[79] Decision 1/CP.18, paragraph 87(c).
[80] FCCC/SBI/2014/8, paragraph 197. As soon as submissions are received, they are made available on the submission portal at <www.unfccc.int/5900>.
[81] The note will be available by 1 October 2014.
[82] FCCC/SBI/2014/8, paragraph 195.
[83] FCCC/SBI/2014/8, paragraph 194.

## 16. Gender and climate change

100. *Background:* To enable the tracking of progress made towards the goal of gender balance adopted by decision 23/CP.18, the secretariat will report information on the gender composition of bodies established under the Convention and the Kyoto Protocol and of delegations to UNFCCC sessions.[98]

101. SBI 39 agreed to continue to work under this item at SBI 41 to further facilitate the ongoing implementation of decision 23/CP.18, drawing on submissions made by Parties and admitted observer organizations on options and ways to advance the gender balance goal,[99] information provided at the in-session workshop on gender, climate change and the UNFCCC, held on 12 November 2013 in Warsaw, Poland, and the annex to document FCCC/SBI/2013/L.16.[100]

102. *Action:* The SBI will be invited to consider ways to further facilitate the ongoing implementation of decision 23/CP.18, and to provide guidance, as appropriate.

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| *FCCC/CP/2014/7* | *Report on gender composition. Note by the secretariat* |
| *Further information* | *www.unfccc.int/7516* |

## 17. Arrangements for intergovernmental meetings

103. *Background:* SBI 40 welcomed the views expressed by Parties on ways to improve the organization of the intergovernmental process and affirmed the need to consider this matter with a sense of urgency.[101] The secretariat will prepare two documents:

(a) One outlining various options relating to the frequency and organization of the sessions of the COP, the CMP and their subsidiary bodies;[102]

(b) One on adjusting the timing of the election of the President, including options for strengthened coordination between the President and incoming Presidencies to ensure smooth transition.[103]

104. *Action:* The SBI will be invited to consider the information contained in the above-mentioned documents, and take any action it deems appropriate.

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| *FCCC/SBI/2014/11* | *Frequency and organization of sessions. Note by the secretariat* |
| *FCCC/SBI/2014/12* | *Adjusting the timing of the election of the President. Note by the secretariat* |
| *Further information* | *www.unfccc.int/8166* and *www.unfccc.int/6558* |

[98] Decision 23/CP.18.
[99] FCCC/CP/2013/MISC.2 and Add.1.
[100] FCCC/SBI/2013/20, paragraph 208.
[101] FCCC/SBI/2014/8, paragraph 215.
[102] FCCC/SBI/2014/8, paragraph 216(a).
[103] FCCC/SBI/2014/8, paragraph 216(b).

## 18. Administrative, financial and institutional matters

(a) Audited financial statements for the biennium 2012–2013

108. *Background:* The financial procedures of the Convention require that a final audited statement of accounts for each full financial period be provided to the COP after the accounts for the financial period are closed. The financial statements for the biennium 2012–2013 have been audited by the United Nations Board of Auditors.

109. *Action:* The SBI will be invited to take note of the report of the United Nations Board of Auditors and its addenda and to recommend draft decisions on this matter to be considered and adopted at COP 20 and CMP 10.

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| *FCCC/SBI/2014/16* | *Audited financial statements for the biennium 2012–2013. Note by the Executive Secretary* |
| *FCCC/SBI/2014/16/Add.1* | *Report of the United Nations Board of Auditors. Note by the Executive Secretary. Addendum. Comments by the secretariat* |
| *FCCC/SBI/2014/16/Add.2* | *Report of the United Nations Board of Auditors. Note by the Executive Secretary. Addendum. Audited financial statements for the biennium 2012–2013* |
| *Further information* | *www.unfccc.int/1065* |

(b) Budget performance for the biennium 2014–2015

107. *Background:* The Executive Secretary will report on income and budget performance and propose any adjustments that might be needed in the programme budget for the biennium 2014–2015.[10]

108. *Action:* The SBI will be invited to take note of the information presented in the documents prepared for the session and any additional relevant oral information provided by the Executive Secretary, and to decide on actions that may need to be included in draft decisions on administrative and financial matters to be recommended for adoption at COP 20 and CMP 10.

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| *FCCC/SBI/2014/10* | *Budget performance for the biennium 2014–2015 as at 30 June 2014. Note by the Executive Secretary* |
| *FCCC/SBI/2014/INF.23* | *Status of contributions as at 15 November 2014. Note by the secretariat* |
| *Further information* | *www.unfccc.int/1065* |

## 19. Reports on other activities

(a) Report on the expert meeting on an information hub for information on the results of the activities referred to in decision 1/CP.16, paragraph 70, and results-based payments

109. *Background:* COP 19 decided to establish an information hub on the web platform on the UNFCCC website[11] as a means to publish information on the results of the activities

[10] Decision 27/CP.19, paragraph 23.

[11] <www.unfccc.int/redd>

referred to in decision 1/CP.16, paragraph 70,[11] and corresponding results-based payments.[12] The secretariat organized an expert meeting on this matter on 2 and 3 September 2014 in Bonn,[13] and is improving and further developing the web platform on the UNFCCC website on which the hub is located.[14]

110. *Action:* The SBI will be invited to take note of the report on the expert meeting, to be prepared by the secretariat. This would enable the secretariat to establish the information hub at the soonest possible time.

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| *FCCC/SBI/2014/INF.13* | *Report on the expert meeting on an information hub for information on the results of the activities referred to in decision 1/CP.16, paragraph 70, and results-based payments. Note by the secretariat* |
| *Further information* | *<www.unfccc.int/9432>, <www.unfccc.int/8180>, and <www.unfccc.int/8458>* |

(b) Summary report on the 2nd Dialogue on Article 6 of the Convention

111. *Background:* COP 18 adopted the Doha work programme on Article 6 of the Convention and established an annual dialogue to enhance work in this area.[15] The 2nd Dialogue on Article 6 of the Convention was held during SBI 40 with a focus on public awareness, public participation, public access to information and international cooperation in these areas.

112. *Action:* The SBI will be invited to take note of the summary report on the 2nd Dialogue on Article 6 of the Convention, to be prepared by the secretariat.

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| *FCCC/SBI/2014/15* | *Summary report on the 2nd Dialogue on Article 6 of the Convention. Note by the secretariat* |
| *Further information* | *<www.unfccc.int/2529> and <www.unfccc.int/8210>* |

## 20. Other matters

113. Any other matters referred to the SBI at COP 20 or CMP 10, as well as any other matters arising during the session, will be taken up under this agenda item.

## 21. Closure of and report on the session

114. A draft report on the work of the session will be prepared for adoption by the SBI at the end of the session, after which the Chair will declare the session closed.

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[11] In decision 1/CP.16, paragraph 70, the COP encouraged developing country Parties to contribute to mitigation actions in the forest sector by undertaking the following activities: reducing emissions from deforestation; reducing emissions from forest degradation; conservation of forest carbon stocks; sustainable management of forests and enhancement of forest carbon stocks (also referred to as REDD-plus).

[12] Decision 9/CP.19, paragraph 9.

[13] Decision 9/CP.19, paragraph 15.

[14] Decision 9/CP.19, paragraph 19.

[15] Decision 15/CP.18.